

Child Care and Development Fund (CCDF) Plan For Oregon FFY 2019-2021

1 Define CCDF Leadership and Coordination with Relevant Systems

This section identifies the leadership for the CCDF program in each Lead Agency and the entities and individuals who will participate in the implementation of the program. It also identifies the stakeholders that were consulted to develop the Plan and who the Lead Agency collaborates with to implement services. In this section respondents are asked to identify how match and maintenance-of-effort (MOE) funds are identified. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems, and outline the work they have done on their disaster preparedness and response plans.

1.1 CCDF Leadership

The Governor of a State or Territory shall designate an agency (which may be an appropriate collaborative agency), or establish a joint inter-agency office, to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E(c)(1)). Note: An amendment to the CCDF State Plan is required if the Lead Agency changes or if the Lead Agency official changes.

1.1.1 Which Lead Agency is designated to administer the CCDF program?

Identify the Lead Agency or joint interagency office designated by the state or territory. ACF will send official grant correspondence, such as grant awards, grant adjustments, Plan approvals, and disallowance notifications, to the designated contact identified here (658D(a)).

Effective Date: 10/01/2018

a) Lead Agency or Joint Interagency Office Information:

Name of Lead Agency: Oregon Department of Education, Early Learning Division

Street Address: 700 Summer St. NE, Suite 350

City: Salem

State: Oregon

ZIP Code: 97301

Web Address for Lead Agency: <https://oregonearlylearning.com>

b) Lead Agency or Joint Interagency Official Contact Information:

Lead Agency Official First Name: Miriam

Lead Agency Official Last Name: Calderon

Title: Early Learning System Director

Phone Number: 503-947-0080

Email Address: miriam.calderon@state.or.us

1.1.2 Who is the CCDF Administrator?

Identify the CCDF Administrator designated by the Lead Agency, the day-to-day contact, or the person with responsibility for administering the state's or territory's CCDF program. ACF will send programmatic communications, such as program announcements, program instructions, and data collection instructions, to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the Co-Administrator or the person with administrative responsibilities and include his or her contact information.

Effective Date: 04/06/2020

a) CCDF Administrator Contact Information:

CCDF Administrator First Name: Amy

CCDF Administrator Last Name: Joyce

Title of the CCDF Administrator: Child Care Director

Phone Number: 503-373-0865

Email Address: amy.joyce@ode.state.or.us

Address for the CCDF Administrator (if different from the Lead Agency):

Street Address: n/a

City:

State:

ZIP Code:

b) CCDF Co-Administrator Contact Information (if applicable):

CCDF Co-Administrator First Name: Crys

CCDF Co-Administrator Last Name: O'Grady

Title of the CCDF Co-Administrator: Child Care Policy Analyst, CCDF Co-Administrator

Description of the role of the Co-Administrator: Review program management and implementation policies and procedures and update as needed. Review the timelines for public hearings and market rate survey or alternative methodology, CCDF Plan amendments, and other requirements.

Phone Number: 503-373-0071

Email Address: crystal.ogrady@ode.state.or.us

Address for the CCDF Co-Administrator (if different from the Lead Agency):

Street Address: n/a

City:

State:

ZIP Code:

1.2 CCDF Policy Decision Authority

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or public or private local agencies as long as it retains overall responsibility for the administration of the program (658D(b)). Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency must be governed by written agreements that specify the mutual roles and responsibilities of the Lead Agency and other agencies in meeting the program requirements.

1.2.1 Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level? Identify whether CCDF program rules and policies are established by the state or territory (even if operated locally) or whether the CCDF policies or rules are established by local entities, such as counties or workforce boards (98.16(i)(3)). Check one.

Effective Date: 10/01/2018

- All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.
- Some or all program rules and policies are set or established by local entities. If checked, indicate which entities establish the following policies. Check all that apply.

1. Eligibility rules and policies (e.g., income limits) are set by the:

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

2. Sliding-fee scale is set by the:

State or territory

Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

3. Payment rates are set by the:

State or territory

Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

4. Other. List and describe other program rules and policies and describe (e.g., quality rating and improvement systems [QRIS], payment practices):

1.2.2 How is the CCDF program operated? In other words, which entity(ies) implement or perform these CCDF services? Check all that apply

Effective Date: 04/01/2020

a) Who conducts eligibility determinations?

- CCDF Lead Agency
- Temporary Assistance for Needy Families (TANF) agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

b) Who assists parents in locating child care (consumer education)?

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

c) Who issues payments?

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

1.2.3 Describe the processes the Lead Agency uses to monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.2, including written agreements, monitoring and auditing procedures, and indicators or measures to assess performance of those agencies (98.16(b)). Note : The contents of the written agreement may vary based on the role the agency is asked to assume or type of project, but must include at a minimum, tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, and indicators or measures to assess performance (98.11(a)(3)).

Effective Date: 04/01/2020

The Lead Agency monitors administration and implementation through a written interagency agreement with the Department of Human Services. Performance is assessed quarterly by measuring completion of key activities to reach goals and deliverables. The key activities and deliverables are based on CCDF requirements and include activities such as staff training to improve understanding of the significance of early learning, increasing referrals to other supports such as developmental screening, improving access to foster children and homeless families, increasing participation of licensed programs for CCDF subsidy, and activities to reduce the error rate. For Baby Promise, grant agreements and the Baby Promise Operations Manual capture requirements and deliverables.

The Secretary of State performs independent audits once every three years on Child Care and Development Fund expenditures, testing eligibility determination, and other federally required audit procedures. A sample of cases are selected based on criteria laid out by the auditor during the entrance conference. The auditor reviews CCDF payment records. Review of documentation for family eligibility includes the application, supporting documents, copayment amount and authorized child care hours. The primary document reviewed for provider eligibility is the provider listing form which includes information on all requirements including training and background checks. Audits are conducted based on the policy information in place during the audit time frame. Auditors receive information on significant policy

changes occurring within the audit period. The policy analyst validate each audit finding, provide policy clarification or additional documentation, analyze the cause of errors, capture examples, identify corrective actions and supply the information for use in training and creating staff tools. Field staff are notified of any corrections that must be made and the cases are monitored for corrective actions. Payment errors are referred to the Overpayment Writing Unit or to the Direct Pay Unit for identified underpayments.

1.2.4 Lead Agencies must assure that, to the extent practicable and appropriate, any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available on request to other public agencies, including public agencies in other States, for their use in administering child care or related programs (98.15(a)(11)).

Effective Date: 10/01/2018

Assure by describing how the Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate.

Language in the contract for the entity responsible for developing and maintaining the information system for child care facilities includes the following language:

Contractor shall not charge a development, licensing or user fee to any state, federal, or local governmental entity when distributing copies of, and transferring or sublicensing rights to, the Work Product to such entity. Contractor may recover costs of transferring or making such Work Product available from the receiving entity. For purposes of Section 8.5, Contractor's exercise of its right to transfer or sublicense according to this Section 8.8 will be considered an activity performed by Contractor under this Contract. Source code for any or all material part of the Deposited Programs is generally made publicly available by Contractor, with or without additional cost, to other users of comparable software;

Effective Date: 10/01/2018

1.2.5 Lead Agencies must have in effect policies to govern the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds (98.15(b)(13)).

Effective Date: 10/01/2018

Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information.

The Oregon Department of Education Agency Policy 581-101 outlines agency and employee responsibility for use and disclosure of confidential information. The policy prohibits the distribution of defined confidential information and requires recommended actions for issues where confidentiality concerns may exist such as servers, desktops, emails, paper files, and data files.

<https://www.ode.state.or.us/services/hr/pdfs/581-101.pdf>

Department of Human Services may use and disclose data in order to accomplish the work of agencies, including for research and public health or health care operations functions. The information must be sufficiently de-identified and the data cannot be used alone or in combination with other available information to identify an individual who is subject to the data. De-identified data is created by removing information from the data set by deleting, redacting or blocking data fields so remaining information cannot reasonably be used to identify a specific individual. Protected health information is not included in any de-identified information. Certain data sets may be used if a data use agreement is in place, and specific identifiers such as name of the individual, an individual's employers, and household member names are removed.

Effective Date: 10/01/2018

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF plan, which serves as the application for a 3-year implementation period. As part of the Plan development process, Lead Agencies must consult with the following:

(1) Appropriate representatives of units of general purpose local government-(658D(b)(2); 98.10(c); 98.12(b); 98.14(b)). General purpose local governments are defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf.

(2) The State Advisory Council (SAC) on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act) (658E(c)(2)(R); 98.15(b)(1)) or similar coordinating body pursuant to 98.14(a)(1)(vii).

(3) Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a timely manner and at the option of the Indian tribe(s) or tribal organization(s) (658D(b)(1)(E)).

Consultation

involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan. Describe the partners engaged to provide services under the CCDF program in question 1.4.1.

1.3.1 Describe the Lead Agency's consultation in the development of the CCDF plan.

Effective Date: 03/01/2020

a) Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments.

The regional Early Learning Hubs are the state's entity for bringing together stakeholders including local governments, to implement early learning goals.

Several hubs are part of local government (county commissions) and others have

local government representatives on their governance councils. The Hubs actively consult on identifying community needs and prioritizing resources and working with partners to achieve positive outcomes for children.

b) Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body.

The Early Learning Council is the state advisory council appointed by the Governor, made up of a citizen from each congressional district and at-large membership in compliance with the federal Head Start Act. There are nine voting members and the Governor may appoint voting, ex officio members who represent the state agencies and other entities that are required to be represented on a state advisory council for purposes of the federal Head Start Act and who represent the tribes of this state. The Council includes the Directors of the Oregon Health Authority and Department of Human Services Self Sufficiency programs. These agencies are responsible for oversight of coordinating programs related to early care and education such as Maternal and Child Home Visitation, Medicaid, developmental screening, public health, child welfare, Temporary Assistance for Needy Families, refugee and immigrant services, and child care subsidy.

The Early Learning Council is the state advisory body, informs Early Learning System policy decisions and has rule-making authority for the Early Learning Division. The Early Learning Council advises the Lead Agency on policy issues, challenges and priorities related to affordable, quality child care and early education programs in Oregon and reviews all Lead Agency rules leading to promulgation, and provides input on policy decisions. The Early Learning Council is engaged in consultation during the state plan development and throughout the plan period with presentations and policy discussions on relevant topics.

c) Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations(s) within the state. Note: The CCDF regulations recognize the need for States to conduct formal, structured consultation with Tribal governments, including Tribal leadership. Many States and Tribes have consultation policies and procedures in place.

The Early Learning Division and the Department of Human Services are subject to Oregon Statute 182.162. The statute defines and guides the government-to-

government relationship existing between Oregon's nine recognized tribes and the State of Oregon. The education cluster focuses on areas of partnership that expand along the education spectrum from early childhood to college and the health services cluster includes human services and child care subsidy. The Early Learning Division and the Department of Human Services take an active participation role in both government-to-government quarterly meetings. The Lead Agency collaborates regularly with all CCDF Tribal Administrators. No formal consultation (as outlined in statute) was identified during the development of the State Plan. Presentations on collaboration activities and efforts to jointly meet the Child Care and Development Block Grant Act of 2014 and the Child Care and Development Fund rules were presented at both Government to Government clusters in March 2018. The Early Learning Hubs collaborate with each of the federally recognized tribes in their service area and solicit input from tribal communities and Native American populations on local early learning services.

[d\) Describe any other entities, agencies, or organizations consulted on the development of the CCDF plan.](#)

A number of entities provide ongoing consultation on the CCDF State Plan. The Early Learning Partner Forum is an ad hoc group whose role is to provide input and advise the Early Learning Division on child care policy related to the CCDF state plan. The Early Learning Partner Forum provided general consultation on the state plan through engagement over the plan period. This included child care licensing rules, Spark - Oregon's Quality Rating and Improvement System, subsidy policy, emergency preparedness, and professional development. Membership participation includes representation from child care resource and referral, child care unions, philanthropic organizations, Oregon Association for the Education of Young Children, Oregon Association of Early Learning Professionals, Oregon Center for Career Development, Oregon Afterschool for Kids, Head Start, Early Head Start, Child and Adult Care Food Program, Oregon Health Authority Maternal and Child Health, Oregon Library System, higher education, child care unions and child care providers.

1.3.2 Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C); 98.16(f)).

Reminder:

Lead Agencies are required to hold at least one public hearing in the state or territory, with sufficient statewide or territory-wide distribution of notice prior to such a hearing to enable the public to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:

Effective Date: 10/01/2018

a) Date of the public hearing. 07/19/2018

Reminder: Must be no earlier than January 1, 2018, which is 9 months prior to the October 1, 2018, effective date of the Plan. If more than one public hearing was held, please enter one date (e.g. the date of the first hearing, the most recent hearing or any hearing date that demonstrates this requirement).

b) Date of notice of public hearing (date for the notice of public hearing identified in (a)).
06/07/2018

Reminder: Must be at least 20 calendar days prior to the date of the public hearing. If more than one public hearing was held, enter one date of notice (e.g. the date of the first notice, the most recent notice or any date of notice that demonstrates this requirement).

c) How was the public notified about the public hearing? Please include specific website links if used to provide notice.

The public notice was posted on the agency website and email notification was sent to stakeholders, child care facilities and contractors. Notification was also posted on agency social media pages. <https://oregonearlylearning.com/Updated-CCDF-State-Plan-2019-2021-Public-Comment>

d) Hearing site or method, including how geographic regions of the state or territory were addressed. The hearing was held in Salem at the Early Learning Division and was available via livestream for accessibility and to accommodate the entire geographic area of the state.

e) How the content of the Plan was made available to the public in advance of the public

hearing. (e.g. the Plan was made available in other languages, in multiple formats, etc.) The Plan was posted on the Early Learning Division website on April 20, 2018. Notification was electronically broadcasted to early care and education stakeholders. A second notification was issued on June 7, 2018.

f) How was the information provided by the public taken into consideration regarding the provision of child care services under this Plan? The public has the ability to comment on the Plan via website, email and through multiple engagement activities. All information is reviewed by policy staff and recommendations for accepting or considering changes are moved to the management team for decision. As a result of public input, many corrections and edits are made to the State Plan. Information provided by the public related to statewide policy considerations are reviewed by the Child Care Policy Team as part of the internal policy development process. A majority of the information and feedback from the public is related to desired changes of current state policies. The comments inform future policy decisions.

1.3.3 Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website (98.14(d)). Please note that a Lead Agency must submit Plan amendments within 60 days of a substantial change in the Lead Agency's program. (Additional information may be found here: <https://www.acf.hhs.gov/occ/resource/pi-2009-01>)

Effective Date: 10/01/2018

a) Provide the website link to where the Plan, any Plan amendments, and/or waivers are available. Note: A Plan amendment is required if the website address where the Plan is posted is changed.

<https://oregonearlylearning.com/administration/state-plans/#versions>

b) Describe any other strategies that the Lead Agency uses to make the CCDF Plan and Plan amendments available to the public (98.14(d)). Check all that apply and describe the strategies below, including any relevant website links as examples.

Working with advisory committees.

Describe:

The Early Learning Partner Forum members are notified via email of Plan amendments.

Working with child care resource and referral agencies.

Describe:

All child care resource and referral partners are notified of the Plan and Plan amendments through the Early Learning Division public notification email system and posted on the Early Learning Division website.

Providing translation in other languages.

Describe:

Sharing through social media (e.g., Twitter, Facebook, Instagram, email).

Describe:

The Lead Agency provides news and information on its Facebook page and through stakeholder email notification.

Providing notification to stakeholders (e.g., provider groups, parent groups).

Describe:

The Lead Agency has a comprehensive listserv of stakeholders who are provided with notifications of all public hearing and information on the state plan and amendments. This list includes provider unions, child care resource and referral programs, child care programs, Early Learning Hubs, parenting hubs, and individuals.

Other.

Describe:

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies are required to describe how the state or territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the federal, state/territory, and local levels for children in the programs listed below. This includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care (98.14(a)(1)).

1.4.1 Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families (658E(c)(2)(O); 98.12(a); 98.14(a)).

This list includes agencies or programs required by law or rule, along with a list of optional partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services.

Include in the descriptions the goals of this coordination, such as:

- extending the day or year of services for families;
- smoothing transitions for children between programs or as they age into school;
- enhancing and aligning the quality of services for infants and toddlers through school-age children;
- linking comprehensive services to children in child care or school age settings; or
- developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings

Check the agencies or programs the Lead Agency will coordinate with and describe all that apply.

Effective Date: 03/01/2020

- (REQUIRED) Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns.

Describe the coordination goals and process:

Representative of general-purpose local government are represented on the Early Learning Council and represented on the Early Learning Hub governing committees. The Early Learning Hubs provide system facilitation to achieve three early learning goals:

- **Convene Early Learning, K-12, social/human services, health, parents, tribal governments, and community partners to work effectively together.**
- **Analyze and utilize data to target investments and facilitate community campaigns, plans, and conversations.**
- **Creatively use resources by blending and braiding funds to to support regions' early childhood goals and strategies**

With input from local government, the Early Learning Hubs make decisions on,

and influence child care investments for Focused Family Child Care Networks and Preschool Promise (Oregon's mixed delivery preschool program). The Hubs evaluate data and implement strategies to support children furthest from opportunity.

- (REQUIRED) State Advisory Council on Early Childhood Education and Care (or similar coordinating body) (pursuant to 642B(b)(1)(A)(i) of the Head Start Act).

Describe the coordination goals and process:

The Early Learning Council members are appointed by the Governor to guide efforts to streamline state programs and provide policy direction to meet statewide early learning goals. The council vets investments in strategically leveraged partnerships to cultivate an aligned and coordinated early childhood system. The Council focuses on strategies to support children who are over-represented in the academic achievement gap and under-represented in accessing strong services and supports. The Council meets quarterly to address issues including equitable access to quality early learning and development programs, professional development and education for the early learning workforce, P-3 alignment, and identifying state level policy changes to support family well-being and stability through active outreach and communication.

- Check here if the Lead Agency has official representation and a decision-making role in the State Advisory Council or similar coordinating body.

- (REQUIRED) Indian tribe(s) and/or tribal organization(s), at the option of individual tribes.

Describe the coordination goals and process, including which tribe(s) was consulted:

The Department of Human Services works with all nine federally recognized tribes in Oregon through the Health Services Cluster Government to Government structure and through Tribal Prevention quarterly meeting with Indian Child Welfare staff. Child care policy staff members work with regional Department of Human Services caseworkers and tribal CCDF representatives to share information on policy changes and coordinate linking comprehensive services. In addition, Department of Human Service staff members facilitate meetings between eligibility program staff and the tribes to coordinate access to child care subsidy, discuss training for tribal child care providers, and

discuss how the CCDBG Act of 2014 is changing child care policy and practices. The Lead Agency and Tribal CCDF Administrators share several coordination goals. Among them are: Tribal members have access to state CCDF subsidy and state funds are used before Tribal CCDF whenever possible; Coordination of state and tribal emergency preparedness and recovery efforts; Access to state systems for CCDF compliant background checks; Increasing the supply of infant and toddler care; Training and professional development system opportunities for all licensed and license exempt Tribal CCDF Providers.

N/A-There are no Indian tribes and/or tribal organizations in the State.

(REQUIRED) State/territory agency(ies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and and Part B, Section 619 for preschool).

Describe the coordination goals and process:

The Oregon Council on Developmental Disabilities, Inclusive Child Care Program provides one-on-one consultations to families of children with disabilities for the ERDC subsidy program. Child Care Resource and Referral programs in some areas of the state also provide consultations to families and child care providers to support the delivery of the program statewide. Work continues to expand accessibility and services. The coordination goals are to provide training and support to parents and child care providers for successful inclusive child care placements.

(REQUIRED) State/territory office/director for Head Start state collaboration.

Describe the coordination goals and process:

The Head Start Collaboration Director is a member of the Early Learning Council and actively involved in statewide policy consideration for all child care services and alignment in the state. Extended day and comprehensive services, and continuity of care are an ongoing part of the child care policy work of the division and the Early Learning Council. Other state initiatives, such as the Spark, Oregon's Quality Rating and Improvement System and universal developmental screenings are contributing to quality in all child care settings by

supporting quality early learning environments and practices, encouraging parent partnerships, and improving child screening and referral efforts.

Additional goals are as follows:

- Oregon Department of Education-Early Intervention/Early Childhood Special Education - coordination and collaboration between Head Start and EI/ECSE to support service delivery for children in Head Start.
- Office of Child Care licensing - coordination and improved communication between Head Start and the Office of Child Care related to Head Start standards and licensing regulations; work to streamline licensing system for HS sites.
- Oregon Center for Career Development, Portland State University - coordination of the state's professional development Step Registry system and Head Start staff qualifications federal requirements; development of streamlined training tracking and reporting systems for Head Start staff in licensed sites.
- Early Learning Hubs - coordination and collaboration between Head Start programs and Oregon's Early Learning Hub system.
- Oregon Head Start Association - communication between Oregon Head Start Association and the Early Learning Division regarding state initiatives, funding, and system development.
- Oregon Department of Education Homeless Education - coordination and communication between Head Start and school district homeless education liaisons.

(REQUIRED) State agency responsible for public health, including the agency responsible for immunizations.

Describe the coordination goals and process:

The State's licensing system and the Department of Human Services coordinate with state and county public health departments with the goal of providing information and assisting licensed and license exempt child care facilities to meet immunization requirements. The child care licensing unit coordinates with public health on child care rules asking for guidance and feedback. Licensing staff meet quarterly with representatives from environmental health with the goal to share best practices on health, safety and sanitation and help guide licensing process. Representatives from public health serve on the Emergency Preparedness and Response workgroup and are instrumental in local preparedness efforts with child care providers.

- ☑ (REQUIRED) State/territory agency responsible for employment services/workforce development.

Describe the coordination goals and process:

The Department of Human Services is the state agency responsible for the TANF JOBS program as well as the ERDC, the child care subsidy program. The primary goal between employment services and CCDF is to support low income parents successfully transition from TANF and other workforce development programs to full time middle wage jobs with subsidized child care. Individuals leaving TANF with a child care need are automatically enrolled in ERDC. On a local level, the Workforce Development Boards prioritize an integrated service delivery system and Department of Human Services coordinates availability of CCDF child care funds for adults and dislocated workers transitioning to work from TANF, unemployment and training programs.

- ☑ (REQUIRED) State/territory agency responsible for public education, including prekindergarten (preK).

Describe the coordination goals and process:

The Early Learning Division is part of the Oregon Department of Education and has formalized a collaborative partnership that focuses on prenatal through third grade alignment (P-3). The partnership has articulated a shared vision for P-3 in Oregon which focuses on building capacity and strengthening supports for local P-3 projects throughout the state. The goals of the partnership team are articulated in a shared work plan and includes activities such as the development of a P-3 resource website and creating opportunities for shared professional development for providers of early learning services and K-3 teachers. Oregon's Pre-kindergarten program and Preschool Promise, Oregon's mixed delivery preschool program, operate out of the Early Learning Division. Coordination goals for Preschool Promise are closely aligned with the local goals of the Early Learning Hubs, and funding for Preschool Promise is offered through nine Hub regions. Both Oregon Pre-kindergarten and Preschool Promise promote school readiness as a primary goal and the investment expands high-quality early learning opportunities for the lowest income and highest need children. The state coordinates with Head Start grantees to provide wrap around child care services for full-day programs through a contracted slot program. Head Start programs providing full-day services for

working families have had contracts in place for over ten years. Future contracts will be subject to funding availability and a competitive procurement process. Additionally, a new pilot program Baby Promise operating in 3 CCR&R regions in the state will focus on stabilizing and increasing quality of existing care for low-income families.

- (REQUIRED) State/territory agency responsible for child care licensing.

Describe the coordination goals and process:

The Early Learning Division is responsible for child care licensing. The division's executive team includes the Child Care Director Division wide strategic planning, policy decisions and implementation of programming is coordinated with a goal to support health, safety and continuous quality improvement in early learning settings.

- (REQUIRED) State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs.

Describe the coordination goals and process:

The state coordinates with the Department of Education Child Nutrition programs as well as contractors engaged in administering the Child and Adult Care Food Program. Coordination goals focus on sharing information maximizing efforts to provide technical assistance to child care providers, coordinate communication for providers about changes to the licensing, CCDF and CACFP.

- (REQUIRED) McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons.

Describe the coordination goals and process:

The Oregon Department of Education's State Coordinator for Homeless Education Program and the Early Learning Division co-convene a group with child care policy staff from the Department of Human Services with goals to assess services to homeless families and develop continual improvement plans that enhance educational outcomes for children whose families are experiencing homelessness.

- (REQUIRED) State/territory agency responsible for the Temporary Assistance for Needy Families program.

Describe the coordination goals and process:

The Department of Human Services is the TANF agency. Management and line staff from the child care program at the Department of Human Services coordinate services for families transitioning from TANF for successful transition into child care. The ERDC program and TANF program work together to develop educational material that can be utilized by foster care certifiers and child welfare around ERDC eligibility.

- (REQUIRED) Agency responsible for Medicaid and the state Children's Health Insurance Program.

Describe the coordination goals and process:

The Department of Human Services and the Oregon Health Authority are responsible for Medicaid and the state Children's Health Insurance Program. The Oregon Health Authority is represented on the Early Learning Council as well as the Early Learning Partner Forum, an ad hoc group whose role is to provide input and advise the Early Learning Division on child care policy related to the CCDF state plan. There is also a standing joint Early Learning Council/Oregon Health Policy Board responsible for deepening coordination and integration of early learning and health policy. The goal of this coordination is to better enhance and align comprehensive services to children and families. The Early Learning Division is working with statewide Coordinated Care Organizations to identify vulnerable children and families and connect them to high quality child care and other early learning programs.

- (REQUIRED) State/territory agency responsible for mental health

Describe the coordination goals and process:

The Oregon Health Authority is responsible for mental health. The Lead Agency coordinates with infant/child mental health staff to provide resources and technical assistance support to the child care resource and referral system. Oregon has an infant mental health endorsement to recognize and document the development of infant and family professionals across the continuum of infant toddler service providers.

- (REQUIRED) Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development.

Describe the coordination goals and process:

The Early Learning Division invests in funding a comprehensive child care resource and referral system including 211info and an early childhood education training and professional development system. The Quality Improvement and Professional Development Unit in the division administer multiple contracts throughout the state with a primary goal to increase the quality of child care settings through training, professional development and coaching. To meet the needs of families seeking child care, 211info provides child care referrals and links families to comprehensive services available in their communities.

- (REQUIRED) Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable).

Describe the coordination goals and process:

The Early Learning Division/Office of Child Care has provided CCDF Discretionary funds as a match for a Charles Stewart Mott Foundation grant since 2005. Oregon ASK is a collaboration of public and private organizations and community members whose coordination goals seek to address common issues and concerns across all out-of-school time services - child care, recreation, education and youth development. The combined funds support the statewide afterschool network, Oregon ASK, which 1) convenes a quarterly meeting for school-age program providers, 2) provides Spark and other quality improvement training to both management and front-line staff, 3) actively participates in the statewide STEM Council (science, technology, engineering, math), 4) represents and advocates for the before and after-school workforce at statewide meetings, and 5) provides educational materials to statewide and national policymakers.

- (REQUIRED) Agency responsible for emergency management and response.

Describe the coordination goals and process:

The State Office of Emergency Management working closely with the Public Health Division of the Oregon Health Authority, is the entity responsible for

coordination of emergency preparedness and response in Oregon. The Early Learning Division coordinates with the Office of Emergency Management to improve the quality of child care services by providing guidance on the statewide early learning emergency preparedness and response plan and to coordinate efforts with local emergency management personnel to better prepare early learning programs in the event of man-made or natural disaster.

The following are examples of optional partners a state might coordinate with to provide services. Check all that apply.

State/territory/local agencies with Early Head Start - Child Care Partnership grants.

Describe

Department of Human Services works with Head Start grantees to contract with child care providers participating in the Early Head Start Child Care partnerships to provide high quality and stable child care to infants and toddlers.

State/territory institutions for higher education, including community colleges

Describe

Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services.

Describe

State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant.

Describe

The Oregon Health Authority implements the Maternal and Child Home Visiting Program and a representative serves on the Early Learning Council. The goal of the coordination is to link families to comprehensive services.

Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment.

[Describe](#)

Oregon Health Authority, Early Intervention, Early Childhood Special Education and the Inclusive Child Care Program coordinate with the child care resource and referral agencies to provide information and supports for developmental screening, Individuals with Disabilities Act services, and training and support for parent and providers.

- [State/territory agency responsible for child welfare.](#)

[Describe](#)

Department of Human Services Child Welfare is responsible for child welfare services. Coordination includes referrals to CCDF subsidy programs for certain categories of families involved in protective services when the ERDC reservation list is in effect. The referrals allow families to access child care subsidy when the care is needed in order to allow a child to remain in the home with their parent, to be placed with a known relative or to be returned home to their parent. The child care licensing department conducts tandem investigations with local child welfare staff for child care facilities where concerns or complaints related to child abuse are presented.

- [State/territory liaison for military child care programs.](#)

[Describe](#)

- [Provider groups or associations.](#)

[Describe](#)

- [Parent groups or organizations.](#)

[Describe](#)

- [Other.](#)

[Describe](#)

1.5 Optional Use of Combined Funds, CCDF Matching and Maintenance-of-Effort Funds

Optional Use of Combined Funds:

States and territories have the option to combine CCDF funds with any program identified as required in 1.4.1. These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care (658E(c)(2)(O)(ii)). Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and/or enhance services for infants, toddlers, preschoolers and school-age children and families to allow for the delivery of comprehensive quality care that meets the needs of children and families. For example, state/territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a state/territory may allow a county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start Program Performance Standards or state/territory prekindergarten requirements in addition to state/territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged by sections 640(g)(1)(D) and (E); 640(h); 641(d)(2)(H)(v); and 642(e)(3) of the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided (Policy and Program Guidance for the Early Head Start ' Child Care Partnerships:

https://www.acf.hhs.gov/sites/default/files/occ/acf_im_ohs_15_03.pdf
).

1.5.1 Does the Lead Agency choose to combine funding for CCDF services for any required early childhood program (98.14(a)(3))?

Effective Date: 10/01/2018

No (If no, skip to question 1.5.2)

Yes. If yes, describe at a minimum:

a) How you define "combine"

Combine is defined as a Head Start or Early Head Start program accessing CCDF funds in addition to other federal funds to provide full-day, full-year child care services and wrap around services.

b) Which funds you will combine

Oregon combines federal Head Start and/or Early Head Start funds with CCDF mandatory or discretionary funds.

c) Your purpose and expected outcomes for combining funds, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of services, linking comprehensive services to children in child care or developing the supply of child care for vulnerable populations

The purpose and outcomes of the combined funds are:

- **Offer full-time child care services for working families;**
- **Improve the supply of full time high quality child care services for eligible Head Start families;**
- **Allow families access to back-up child care services when Head Start programs are not operating;**
- **Provide child care funding in order for Head Start federal funds to support the enhanced services needed for children and families.**

d) How you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level?

The Department of Human Services contracts with a limited number of Head Start and Early Head Start grantees by providing funding at a full time center child care rate for children enrolled in full day, full year programs.

e) How are the funds tracked and method of oversight

Policy and operations analysts from the Department of Human Services administer contracts with Head Start and Early Head Start, provider tracking and oversight of contract requirements to ensure outcomes are met.

1.5.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)?

Note:

The Lead Agency must check at least public and/or private funds as matching, even if preK funds also will be used.

Use of PreK for Maintenance of Effort: The CCDF final rule clarifies that public preK funds may also serve as maintenance-of-effort funds as long as the state/territory can describe how it will coordinate preK and child care services to expand the availability of child care while using public preK funds as no more than 20 percent of the state's or territory's maintenance of effort or 30 percent of its matching funds in a single fiscal year (FY) (98.55(h)). If expenditures for preK services are used to meet the maintenance-of-effort requirement, the state/territory must certify that it has not reduced its level of effort in full-day/full-year child care services (98.55(h)(1); 98.15(a)(6)).

Use of Private Funds for Match or Maintenance of Effort: Donated funds do not need to be under the administrative control of the Lead Agency to qualify as an expenditure for federal match. However, Lead Agencies do need to identify and designate in the state/territory Plan the donated funds given to public or private entities to implement the CCDF child care program (98.55(f)).

Effective Date: 10/01/2018

- N/A - The territory is not required to meet CCDF matching and MOE requirements
- Public funds are used to meet the CCDF matching fund requirement. Public funds may include any general revenue funds, county or other local public funds, state/territory-specific funds (tobacco tax, lottery), or any other public funds.

-- If checked, identify the source of funds:

State general fund

-- If known, identify the estimated amount of public funds that the Lead Agency will receive: \$

Private donated funds are used to meet the CCDF matching funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes (98.53(f)).

-- If checked, are those funds:

donated directly to the State?

donated to a separate entity(ies) designated to receive private donated funds?

-- If checked, identify the name, address, contact, and type of entities designated to receive private donated funds:

-- If known, identify the estimated amount of private donated funds that the Lead Agency will receive: \$

State expenditures for preK programs are used to meet the CCDF matching funds requirement.

If checked, provide the estimated percentage of the matching fund requirement that will be met with preK expenditures (not to exceed 30 percent): 30%

-- If the percentage is more than 10 percent of the matching fund requirement, describe how the State will coordinate its preK and child care services:

The Lead Agency licenses or administers state funded preK programs. All programs and staff are connected to Oregon's career lattice system through the Oregon Registry to document career pathway achievements for all early learning professionals, and serves as a registry for tracking early educator professional development activities in the core knowledge categories .

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the matching funds requirement: \$ 10.9 million

-- Describe the Lead Agency efforts to ensure that preK programs meet the needs of working parents:

The Department of Human Services holds contracts with preK programs to provide wrap around care for families who need child care outside of the normal preK hours. All preK programs work closely with enrolled families and the Department of Human Services to provide child care subsidy when appropriate to meet the needs of each working family.

- State expenditures for preK programs are used to meet the CCDF maintenance-of-effort requirements. If checked,
-- The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.55(h)(1) and 98.15(6).

No

Yes

-- Describe the Lead Agency efforts to ensure that preK programs meet the needs of working parents:

The Department of Human Services holds contracts with preK programs to provide wrap around care for families who need child care outside of the normal preK hours. All preK programs work closely with enrolled families and the Department of Human Services to provide child care subsidy when appropriate to meet the needs of each working family.

-- Estimated percentage of the MOE Fund requirement that will be met with preK expenditures (not to exceed 20 percent): 20%

-- If the percentage is more than 10 percent of the MOE requirement, describe how the State will coordinate its preK and child care services to expand the availability of child care:

Oregon's Preschool Promise is a mixed delivery preschool model that expands preK services to families within and outside of the Head Start system. The model expands the availability of quality child care to families who choose care in a variety of child care settings and makes investments in non Head Start programs to increase quality to align with Head Start standards.

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the MOE Fund requirement: \$ 11.4 million approximately

1.6 Public-Private Partnerships

Lead Agencies are required to describe how they encourage public-private partnerships among other public agencies, tribal organizations, private entities, faith-based organizations, businesses or organizations that promote business involvement, and/or community-based organizations to leverage existing service delivery (i.e., cooperative agreement among

providers to pool resources to pay for shared fixed costs and operation) (658E(c)(2)(P)). ACF expects these types of partnerships to leverage public and private resources to further the goals of the CCDBG Act. Lead Agencies are required to demonstrate how they encourage public-private partnerships to leverage existing child care and early education service-delivery systems and to increase the supply and quality of child care services for children younger than age 13, for example, by implementing voluntary shared service alliance models (98.14(a)(4)).

1.6.1 Identify and describe the entities with which and the levels at which the state/territory is partnering (level-state/territory, county/local, and/or programs), the goals of the partnerships, the ways that partnerships are expected to leverage existing service-delivery systems, the method of partnering, and examples of activities that have resulted from these partnerships (98.16(d)(2)).

Oregon has developed a model for partnering with public and private entities, tribes, and faith-based organizations to leverage service delivery systems for early care and education services. Oregon has 16 Early Learning Hubs, each with its own governing body, and sponsored by regional partners including counties, cities, school districts, education service districts. The Early Learning Hubs leverage philanthropic and business leaders, and non-profit partners locally to expand services to children and families such as professional development for early educators, developmental screening, and kindergarten transition.

The Early Learning Division and Department of Education formalized a collaborative partnership that focuses on prenatal through third grade alignment (P-3) with several external organizations including the Children's Institute, Oregon Community Foundation, the Ford Family Foundation, and Portland State University's Center on Early Childhood and Family Support Research. This public/private partnership articulates a shared vision for P-3 in Oregon and focuses on building capacity and strengthening supports for local P-3 projects throughout the state. The partnership developed and implements a shared work plan that includes activities such as the development of a P-3 resource website and creates opportunities for shared professional development for providers of early learning services and K-3 teachers.

The Oregon Community Foundation supports a number of early care and education efforts statewide. Among those activities are scholarship funds for training and college education for the early learning workforce, and works in tandem with the Early

Learning Division to increase the availability of diverse early learning trainers statewide. The Ford Family Foundation funds the Southern Oregon Early Learning Professional Development Consortium as a pilot project in Coos, Curry, Douglas, Jackson, Josephine, Klamath, and Lake Counties. This project supports cohorts of early educators in obtaining higher education credentials, certificates and degrees through a collaborative partnership among the region’s four community colleges, three child care resource and referral organizations, and one university. The child care resource and referral programs provide relationship-based professional development as navigators and the colleges offer classes that are convenient, affordable, culturally and linguistically responsive, and accessible for the Early Learning Workforce active in the profession.

For school-age care, the CCDF investment leverages a broad array of partnerships to support school-age care professionals and children under 13 receiving child care subsidies. The funds provided to Oregon ASK match Mott grant funds to support Oregon ASK as the designated State Afterschool Network. Oregon ASK is also the Oregon affiliate of the National Afterschool Association supporting professionalism in the afterschool workforce. The designations provide funding opportunities and leverage for special projects and initiatives. Examples include funds from the Gates Foundation and the National Conference of State Legislatures and National Governors Association to survey statewide afterschool programs and create the Supporting Student Success report; STEM Next funding to develop STEM training as part of a 39 state collaboration; numerous partnerships with other national STEM efforts to train educators in robotics, science, and computer coding. Oregon ASK also partners with over 50 individuals and organizations through a partner committee designed to convene all entities involved with creating successful opportunities for school aged children in out-of-school activities.

The local child care resource and referral programs partner with a variety of funding entities to leverage services for providers and low income parents. Several Focused Family Child Care Networks funded by the state through the Early Learning Hubs are designed to increase quality environments in family child care home settings. Child Care Resource Network in southern Oregon administers a cohort of Spanish speaking providers to offer Preschool Promise, the state mixed delivery preschool program. Jackson Care Connect partners with Child Care Resource Network to offer a program

to child care providers focused on healthy eating, physical activity and decreasing screen time. Child Care Resource and Referral of Multnomah, the most populous county in Oregon, works closely with the Early Learning Hub and the Kindergarten Partnership Innovation funds to make connections between local child care providers and corresponding elementary schools through connections to play and learn groups and child development classes for families and providers.

The Portland Children’s Levy (grant to Child Care Resource and Referral of Multnomah) increases accessibility to quality child care for parents by awarding additional subsidy for low income working parents and by increasing the quality of child care through business technical assistance and early childhood consultation.

Through a partnership with Worksource, the statewide workforce development program, and Mt. Hood Community College, Child Care Resource and Referral of Multnomah works to recruit early educators who are English language learners to complete a nine month community college certificate program that includes language acquisition, preparation for attainment of a Child Development Associate credential. NeighborImpact Child Care Resources in central Oregon works closely with Central Oregon Community College to connect early educators with classes, ensure classes are available and accessible for non-traditional students and support students’ success.

Effective Date: 10/01/2018

[1.7 Coordination With Local or Regional Child Care Resource and Referral Systems](#)

Lead Agencies may use CCDF funds to establish or support a system of local or regional child care resource and referral (CCR&R) organizations that is coordinated, to the extent determined by the state/territory, by a statewide public or private non-profit, community-based or regionally based, lead child care resource and referral organization (such as a statewide CCR&R network) (658E(c)(3)(B)(iii); 98.52).

- If Lead Agencies use CCDF funds for local CCR&R organizations, the local or regional CCR&R organizations supported by those funds must, at the direction of the Lead Agency, provide parents in the State with consumer education information concerning the full range of child care options (including faith-based and community-based child care providers), analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers, in their area.
- To the extent practicable, work directly with families who receive assistance to offer the families support and assistance to make an informed decision about which child care providers they will use to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality (as determined by the Lead Agency).
- Collect data and provide information on the coordination of services and supports, including services under Section 619 and Part C of the Individuals with Disabilities Education Act;
- Collect data and provide information on the supply of and demand for child care services in areas of the state and submit the information to the State;
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care providers, to increase the supply and quality of child care services in the state and, as appropriate, coordinate their activities with the activities of the state Lead Agency and local agencies that administer funds made available through CCDF (98.52(b)).

Nothing in the statute or rule prohibits States from using CCR&R agencies to conduct or provide additional services beyond those required by statute or rule.

Note: Use 1.7.1 to address if a state/territory funds a CCR&R organization, what services are provided and how it is structured and use section 7.6.1 to address the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

1.7.1 Does the Lead Agency fund a system of local or regional CCR&R organizations?

Effective Date: 10/01/2018

- No. The state/territory does not fund a CCR&R organization(s) and has no plans to establish one.

Yes. The state/territory funds a CCR&R system. If yes, describe the following:

a) What services are provided through the CCR&R organization?

The Oregon child care resource and referral system is funded by CCDF through Early Learning Division contracts with statewide and local organizations. It is comprised of thirteen (13) local child care resource and referral programs assigned to service delivery areas, one central coordination agency - The Research Institute at Western Oregon University, Portland State University's Oregon Center for Career Development and 211info, the child care referral call center. This partnership provides child care referrals to parents seeking child care, recruitment, training and professional development and retention of child care providers and collection, reporting, maintenance and administration of data related to child care. 211info provides child care referrals, consumer education information on quality child care and consultation for parents seeking child care. The local child care resource and referral agencies recruit child care providers according to community's needs, provide training and technical assistance for existing and prospective child care providers, and promote retention in the child care and education field. These supports include training, coaching, mentoring, and consulting and advising on professional development and child care business strategies. These contractors deliver training required to meet state and federal regulations. The programs also support ongoing professional development efforts for continuous quality improvement including assisting child care programs to meet licensing and Spark (Oregon's Quality Rating and Improvement System) standards. The Research Institute provides support for the child care resource and referral system through coordination of state trainings and providing universal, intensive and targeted training and technical assistance to system partners. Central coordination maintains and administers the NACCRRAware database and provides quarterly reports on the supply and demand for child care services both regionally and in the state. OCCD supports Oregon's career lattice, the Oregon Registry.

The 13 local child care resource and referral agencies work primarily with child care providers and focus on recruitment, training and professional development and promoting retention in the field. They work regionally in partnership with their Early Learning Hub to increase quality through advancement in Oregon's career lattice system, the Oregon Registry, and to obtain Spark rating. Two

shared measurements between the local child care resource and referral and Early Learning Hub are increasing number of providers with Spark rating and increasing number of children receiving subsidies in a Spark rated program.

211info is the centralized child care referral call center and is responsible for responding to parents seeking child care that best meets their children's needs and updating the child care provider data in NACCRRAware, the National Data Systems database that houses child care referrals and child care provider information. Two child care teams at 211info work together to provide quality referrals for parents and include community referrals from the 211info general database, which holds over 30,000 community services. Parents calling for child care referrals can also access community referrals such as WIC, SNAP, health care, housing, etc. dependent on their needs. All parents also receive eligibility information about child care subsidies and how to access. 211info collects information on referrals for children with special needs to other services, including Section 619 and Part C of the Individuals with Disabilities Education Act.

Child care referrals are accessed in a variety of ways. 211info child care consultants are available Monday - Friday, 7:00 am - 11:00 pm and Saturday - Sunday, 8:00 am - 8:00 pm and can respond to calls, emails and texts. Two types of referrals are provided based on parent needs: basic and enhanced.

Basic referrals include a minimum of three provider information summaries, consumer education on quality child care and a disclaimer informing parents that provider profiles are referrals and not recommendations. Parents also receive the Early Learning Division's Office of Child Care phone number and website link for researching licensing compliance and complaint information, and information on child care subsidies. Provider information summaries list hours, program attributes, ages and ranges of children served, and other pertinent data. Consumer education includes current research-based quality indicators, an interview checklist for quality, and the types of child care options.

Enhanced referrals include a basic referral plus additional information based on

the parent's needs. They require more time than basic referrals and support parents in accessing other community services such as WIC, SNAP, housing health care, and TANF. Enhanced referrals apply a comprehensive and holistic approach in assisting parents find child care and other services as needed.

The 211info child care team and the local child care resource and referral programs work together to support providers and parents. Following the no wrong door approach, parents calling the local child care resource and referral programs for child care referrals continue to receive services and then are referred to 211info for any subsequent referrals.

The Oregon Center for Career Development manages the state's professional development system which includes the Oregon Registry Online (the professional development database), the Oregon Registry (the career lattice), the Oregon Registry Trainer Program, and scholarships and incentive payments to the workforce.

The Research Institute provides central coordination for child care resource and referral programs including communication, technical assistance, and data services to the partners. In addition, The Research Institute administers Spark (Oregon's QRIS), and provides significant technical assistances to all parts of the child care resource and referral system.

b) [How are CCR&R services organized, include how many agencies, if there is a statewide network and if the system is coordinated?](#)

Oregon's child care resource and referral system is part of the quality improvement and professional development system. Contracted partners are agencies who support continuous quality improvement for child care providers through training and technical assistance and providing child care referrals and consumer education on quality to parents seeking child care. The state-wide network of 13 child care resource and referral agencies includes local and state governmental entities and community based organizations. 211info is part of the child care resource and referral system and employs a multi-tiered communications and outreach strategy to ensure consumers are informed about child care, quality child care indicators and related services. The Early

Learning Division contracts for and coordinates the work of the child care resource and referral system. There is a designated central coordination contractor through The Research Institute at Western Oregon University who supports local child care resource and referral programs and provides infrastructure for data requirements. The Research Institute offers universal, targeted, and intensive training and technical assistance to child care resource and referral programs and 211info. The contractor convenes and facilitates monthly meetings for all of the quality improvement and professional development partners to provide updates and continuous communication among the contractors. Annual conferences provide universal training and technical assistance on current topics and research relevant to the child care and education field. Data services are also provided.

Child care resource and referral agencies are participating members in their region's early childhood partnerships and work collaboratively on strengthening the childhood care and education systems in their communities. Their contracts specify that they coordinate with the Early Learning Hub(s) in their local geographic service area to provide child care resource and referral activities that address community needs as identified by the Early Learning Hub and to participate in planning and providing professional development. Child care resource and referral agencies work closely with employers, community planners and Early Learning Hubs to address the child care needs of their individual communities.

The quality improvement and professional development system partners participate in a biannual Learning Collaborative in coordination with the Early Learning Hubs. The purpose of this two-day session is to connect, coordinate, share resources, successes and wisdom, and expand dialogue across early learning systems throughout Oregon. Partners create an environment to deepen conversations that promote learning and working together towards a shared vision.

1.8 Disaster Preparedness and Response Plan

Lead Agencies are required to establish a Statewide Child Care Disaster Plan (658E(c)(2)(U)). They must demonstrate how they will address the needs of children'including the need for safe child care, before, during, and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122)'through a Statewide Disaster Plan that, for a State, is developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(l)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body (98.16(aa)).

1.8.1 Describe how the Statewide Child Care Disaster Plan was developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care or similar coordinating body:

The Early Learning Division convened the Oregon Early Learning Emergency Preparedness and Response Workgroup to develop a collaborative partner plan. The workgroup developed a plan over a series of meetings. The workgroup included emergency management personnel representing counties, tribes, the Department of Human Services, and the Oregon Health Authority Public Health Division and the Oregon Office of Emergency Management. Also participating: a member of the Early Learning Council, representatives from family and center child care facilities, child care resource and referral staff members, Oregon Early Learning Hub staff, the Governor's State Resilience Officer, Tribal CCDF Administrators, and a number of licensing and subsidy staff from the Early Learning Division and the Department of Human Services.

Effective Date: 10/01/2018

1.8.2 Describe how the Statewide Disaster Plan includes the Lead Agency's guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster:

The Oregon Department of Human Services and the Department of Education have Continuity of Operations Planning Systems (COOP) which include ELD guidelines for continuity of operations. Temporary operating standards for child care after a disaster are subject to the Governor signing a proclamation of a State of Emergency. The COOP plans cover continuation of child care subsidy payments, strategies for licensing and monitoring, and conducting background checks. The COOP at DHS addresses the dependence ELD has on DHS for provider payments and addresses the staff, materials, documents and network/software needed to continue provider payments through the self-sufficiency unit and direct pay unit. The COOP at ODE addresses child care licensing, child care facility exceptions, child care complaints, and criminal background registry information. For Regional disasters, local licensing offices connect with affected child care providers to assess their ability to provide services and coordinate efforts with local emergency management and public health personnel to restore child care services as soon as viable.

In the event of a state declared State of Emergency, the state may require licensed child care facilities to close unless approved to provide Emergency Child Care by the Office of Child Care. Emergency Child Care providers must comply with any updated guidance for the provision of child care released by the Early Learning Division and Office of Child Care during the State of Emergency. Guidance to ensure the health and safety of children, families, and child care providers may be updated multiple times during a State of Emergency.

Effective Date: 03/23/2020

1.8.3 Describe Lead Agency procedures for the coordination of post-disaster recovery of child care services:

As outlined in the COOPs (see 1.8.2) and Oregon Early Learning Emergency Preparedness and Response plan, <https://oregonearlylearning.com/wp-content/uploads/2018/07/Early-Learning-Emergency-Preparedness-and-Response-Plan.pdf>, Oregon's ELD has procedures to coordinate with key partners in case of a disaster. Key partners include Oregon Emergency Response System, DHS, and the Regional Child Care Resource and Referral System. When the Governor signs a proclamation of a state of Emergency, rules may be suspended to allow for the provision of child care services as directed by the proclamation. The ELD then has emergency plans for rule exceptions, continued licensing and complaints, background checks. In addition, through DHS's COOP, procedures are in place to continue payments to child care providers in the Oregon's subsidy system. Specific information in the COOPs include key personnel, where vital documents such as operational steps are located, and dependencies at other agencies. Finally, Oregon's child care rules require each child care facility/program to have specific procedures for emergency in place. Oregon continues to provide professional development to early learning professionals about this topic.

In order to address the impact on child care providers during the Oregon Severe Storms, Flooding, Landslides, and Mudslides (FEMA DR-4452) in 2019, the Early Learning Division will partner with the Eastern Oregon CCR&R to provide training, professional development, and materials to child care providers impacted by the disaster. The Oregon Severe Storms, Flooding, Landslides, and Mudslides was declared a disaster on July 9, 2019 (<https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2020-01-appendix-d>). Impacted counties are served by the Eastern Oregon CCR&R. After the disaster, the Eastern Oregon CCR&R checked with child care providers to assess the impact of flooding. Many child care providers had brief closures to conduct repairs, while some providers lost outdoor play equipment and had property damage. A small number of providers were permanently closed because of significant water damage to the child care facilities. Child care program leaders reported that although their programs could reopen, staff were not trained in supporting the social and emotional needs of children, families, and other staff after a disaster.

The Early Learning Division will use the Supplemental Disaster funds for the Eastern Oregon CCR&R to conduct the following activities: provide additional training for QISs to support

providers with social emotional/mental health consultation (Trauma Informed Care, coaching, etc.), provide professional development for providers (including scholarships and/or tuition support), and other continuous quality improvement efforts through the purchasing and replacement of materials for programs, (i.e., Creative Curriculum, books, toys, etc.). These materials will support additional mental health activities and curriculum changes to meet the needs of children after a traumatic event. Through these activities child care providers will have access to training and professional development activities that will allow child care staff to better respond to the social, emotional, and behavioral needs of children and families in the post recovery period. All child care providers served by the Eastern Oregon CCR&R, including licensed, unlicensed providers, child care programs run by the Confederated Tribes of Umatilla Indian Reservation, and the Relief Nursery in Pendleton, and are eligible to receive this support. Oregon would like the maximum amount allocated.

Effective Date: 06/01/2020

1.8.4 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place-evacuation; relocation; shelter-in-place; lockdown; communications with and reunification of families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions:

All licensed facilities and exempt facilities receiving CCDF funds are required by rule to have all federally required procedures in place. Evacuation and other types of emergency procedures are practiced regularly. Logs of the emergency drills are required for all licensed facilities. During inspections, licensing specialists review procedures with licensed and license exempt providers.

Effective Date: 10/01/2018

1.8.5 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place for child care staff and volunteers-emergency preparedness training and practice drills as required in 98.41(a)(1)(vii):

All licensed and CCDF license exempt providers are required to complete the Introduction to Child Care Health and Safety training prior to providing care in a child's home, a family child care home, or working in a center. The completion of all required training is documented in ORO, Oregon's professional development registry. Licensing specialists review Staff Qualification and Training Logs generated by ORO to verify documentation of training. The training covers the required emergency preparedness elements. Practice drills are required by rule and licensing specialists check the logs for completeness during monitoring visits. Evacuation and other types of emergency procedures are practiced regularly.

Effective Date: 10/01/2018

1.8.6 Provide the link to the website where the statewide child care disaster plan is available:

<https://oregonearlylearning.com/wp-content/uploads/2018/07/Early-Learning-Emergency-Preparedness-and-Response-Plan.pdf>

Effective Date: 10/01/2018

2 Promote Family Engagement through Outreach and Consumer Education

Lead Agencies are required to support the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A key purpose of the CCDBG Act is to 'promote involvement by parents and family members in the development of their children in child care settings' (658A(b)). Lead Agencies have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care consumer education websites.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. In this section, Lead Agencies will address how information is made available to families to assist them in accessing high-quality child care and how information is shared on other financial assistance programs or supports for which a family might be eligible. In addition, Lead Agencies will certify that information on developmental screenings is provided and will describe how research and best practices concerning children's development, including their social-emotional development, is shared.

In this section, Lead Agencies will delineate the consumer and provider education information related to child care, as well as other services, including developmental screenings, that is made available to parents, providers, and the general public and the ways that it is made available. This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency and the manner in which it links to the national website and hotline. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

2.1 Outreach to Families With Limited English Proficiency and Persons With Disabilities

The Lead Agency is required to describe how it provides outreach and services to eligible families with limited English proficiency and persons with disabilities and to facilitate the participation of child care providers with limited English proficiency and disabilities in the CCDF

program (98.16(dd)). Lead Agencies are required to develop policies and procedures to clearly communicate program information, such as requirements, consumer education information, and eligibility information, to families and child care providers of all backgrounds (81 FR 67456).

2.1.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language. Check all that apply.

Effective Date: 10/01/2018

- Application in other languages (application document, brochures, provider notices)
- Informational materials in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Bilingual outreach workers
- Partnerships with community-based organizations
- Other.

Describe:

Google translate service instantly translates web pages to languages other than English. Statewide, agencies and contractors access the Language Line to provide information to families whose home language is not English.

2.1.2 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability. Check all that apply.

Effective Date: 10/01/2018

- Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities
- Websites that are accessible (e.g. Section 508 of the Rehabilitation Act)
- Caseworkers with specialized training/experience in working with individuals with disabilities
- Ensuring accessibility of environments and activities for all children

- Partnerships with state and local programs and associations focused on disability-related topics and issues
- Partnerships with parent associations, support groups, and parent-to-parent support groups, including the Individuals with Disabilities Education Act (IDEA) federally funded Parent Training and Information Centers
- Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- Availability and/or access to specialized services (e.g. mental health, behavioral specialists, therapists) to address the needs of all children
- Other.

Describe:

2.2 Parental Complaint Process

The Lead Agency must certify that the state/territory maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3)). Lead Agencies must also provide a detailed description of the hotline or similar reporting process for parents to submit complaints about child care providers; the process for substantiating complaints; the manner in which the Lead Agency maintains a record of substantiated parental complaints; and ways that the Lead Agency makes information on such parental complaints available to the public on request (98.16; 98.32).

2.2.1 Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process:

The agency customer service line is staffed by agency personnel during working hours and available to the public to report complaints related to child care facilities or individuals associated with the facility. The customer service line is available 24/7 and the public may leave messages outside of normal business hours, or request to remain anonymous.

Effective Date: 10/01/2018

2.2.2 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring:

When the agency receives a complaint on a licensed child care facility, the process calls for an on site investigation within three business days. Licensing staff are assigned a complaint visit, which they conduct unannounced at the child care facility. The licensing staff review records, interview staff and review all partner agency reports before assigning a visit finding of valid, invalid or unable to substantiate. After the finding is assigned, agency management will decide whether additional monitoring or legal actions are appropriate. Most complaints receive a compliance verification monitoring visit.

A complaint filed with the Department of Human Services on a license exempt provider who receives CCDF, is referred to the Early Learning Division Office of Child Care when there is a health or safety concern. The licensing specialist follows the same procedure with additional cross report of findings results to the Department of Human Services.

Complaints are received by Department of Human Services child care policy from various sources including the Direct Pay Unit (billing and payment processing unit for Department of Human Services child care subsidies), Child Welfare and Office of Child Care. Some complaints are generated internally by reviewing reports of providers who are potentially over the legal number of children based on payment history or cross matches with provider information and Child Welfare records. The over-number reports are processed monthly and the Child Welfare records are reviewed weekly. Reports including child safety concerns are reviewed immediately, within one business day of receipt to Department of Human Services Child Care Policy. Any report of child safety concerns or neglect that did not originate from Child Welfare are reported to Child Welfare immediately, within one business day of receipt to Department of Human Services Child Care Policy. Child Welfare investigates and responds accordingly, sometimes including site visits. Reports of billing and payment or record keeping concerns are referred to the DHS Provider Specialist who conduct site visits statewide to review billing and payment policies and offer best practices for

subsidy providers.

Providers with no current subsidy families receive a note on the provider database not to connect new subsidy families without a review. When subsidy families are actively connected to the provider an analysis is completed of all documentation available, including record reviews and interviews. When Child Welfare investigations are pending, child care policy will speak to the assigned worker throughout the investigation and will evaluate the situation for potential risks. When a rule violation has occurred policy proceeds with a minimum 6-month suspension from subsidy care, a failure, or a Notice of Awareness. Suspensions are applied when there are clear safety risks. A failed status is used when a violation is easily corrected and can be lifted once the violation is corrected. A Notice of Awareness is used when no safety risk is established, the violation appeared to be unintentional (many times this is a failure to report contact with Child Welfare) and the provider did not realize they were in violation with Department of Human Services rules.

Effective Date: 10/01/2018

2.2.3 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints for non-CCDF providers, including whether the process includes monitoring:

Complaints for non-CCDF providers are usually on child care conducted illegally. Normal process is to investigate the complaint within three business days. Licensing staff are assigned a complaint visit, which they conduct unannounced at the facility. The licensing staff review records before assigning a visit finding of valid, invalid or unable to substantiate. After the finding is assigned, agency management will decide whether additional monitoring or legal actions are appropriate. All complaints on illegal child care receive compliance monitoring visits.

Effective Date: 10/01/2018

2.2.4 Certify by describing how the Lead Agency maintains a record of substantiated parental complaints:

All complaints are logged into the Early Learning Division Office of Child Care data management system under the licensing record of the child care facility. Agency staff assign complaint visits to licensing staff within the system, and licensing staff report their findings within the system. Substantiated parent complaints are issued “valid” findings and the data management system maintains the records. Valid complaint findings are posted on the agency child care safety portal.

At the Department of Human Services, all complaints are logged and electronic files are held in the shared Program Integrity drive. Supporting documentation is scanned and maintained with the electronic file. Notes are entered onto the first page of the Provider Master screen by individual provider number. This is available in the mainframe system. Substantiated complaints resulting in the provider being placed in a suspended or failed status are recorded in the Provider Status Tracking System. This system tracks failed and suspended providers within Department of Human Services including providers for Aging and People with Disabilities, Intellectual and Developmental Disabilities and Self-Sufficiency Programs.

Effective Date: 10/01/2018

2.2.5 Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3:

Information on substantiated parent complaints are made available to the public on the agency child care safety portal. All complaints in which the finding result is valid are reported to the public via the agency website or by telephone for a period of ten years. All findings that are unable to substantiate are reported on the web and by phone for a period of two years. No invalid complaints are reported to the public.

Effective Date: 10/01/2018

2.2.6 Provide the citation to the Lead Agency's policy and process related to parental complaints:

<https://oregonearlylearning.com/parents-families/childcare-safetyportal#complaints>

Effective Date: 10/01/2018

2.3 Consumer Education Website

States and Territories are required to provide information to parents, the general public, and when applicable, child care providers through a State website, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The website must include information to assist families in understanding the policies and procedures for licensing child care providers. The website information must also include provider-specific information, monitoring and inspection reports for the provider, the quality of each provider (if such information is available for the provider), and the availability of the provider (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To assist families with any additional questions, the website should provide contact information for local child care resource and referral organizations and any other agencies that can assist families in better understanding the information on the website.

To certify, respond to questions 2.3.1 through 2.3.10 by describing how the Lead Agency meets these requirements and provide the link in 2.3.11. If the Lead Agency has not fully implemented the Consumer Education website elements identified in Section 2.3, then respond to question 2.3.12. Please note that any changes made to the web links provided below in this section after the CCDF Plan is approved will require a CCDF Plan amendment.

2.3.1 Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible:

All electronic content and multimedia posted to the Oregon Department of Education public websites, generated by Oregon Department of Education web applications, and in web applications provided to Oregon Department of Education by a third-party vendor are designed and formatted to meet the World Wide Web Consortium's (W3C's) Web Content Accessibility Guidelines (WCAG) 2.0 Level AA and the Web Accessibility Initiative Accessible Rich Internet Applications Suite (WAI-ARIA) 1.0 for web content.

The Oregon Department of Education engaged the services of an auditor to review sites and assist the Early Learning Division with interpreting the results of the audit reports. The auditor gathered input from members of the public with disabilities, including parents, contractors, others associated with the Early Learning Division, and other persons knowledgeable about website accessibility, regarding the accessibility of the division's online content and functionality. The audit was conducted over the August, 2017 – October, 2017 period.

Consumer friendly elements addressed included emphasis on plain language, minimal clicks to find information, ADA-compliant site design, descriptive text on buttons, mobile compatibility, fast load time, and google translate for languages.

The Department of Human Services uses the Oregon.gov framework and is continually audited for ADA compliance as content changes are made. Content owners and program staff, review materials for appropriate language level. An 8th grade reading level is the target for written materials. Department of Human Services websites are available in English and 103 languages. The Oregon.gov website is tested and designed to be accessible by National Information Consortium USA (NICUSA), the website platform provider.

Effective Date: 10/01/2018

2.3.2 Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a)):

Google translate provides basic web page translation for the Early Learning Division. In addition, all vital licensing documents are translated into four primary languages and posted to the website.

The Department of Human Services parent and provider information including consumer education and training information is included on the website at [https://www.oregon.gov/Department of Human Services/assistance/child-care/pages/index.aspx](https://www.oregon.gov/Department_of_Human_Services/assistance/child-care/pages/index.aspx). At the bottom right hand corner of the page the language option can be selected. There are 103 other languages available.

Other outreach and consumer education information (Department of Human Services 0239, Department of Human Services 8815, Department of Human Services 9863 and Department of Human Services 7485) is available online in English, Spanish, Russian, Vietnamese and Chinese at https://aix-xweb1p.state.or.us/es_xweb/FORMS/?-db=FormTbl.fp5&-lay=Main&-format=Findforms_FMP.htm&-findany.

Families can access the Language Link for translations into 240 plus languages and dialects when necessary.

Effective Date: 10/01/2018

2.3.3 Describe how the website ensures the widest possible access to services for persons with disabilities:

The agencies' websites are ADA compliant and new content goes through accessibility evaluation. The Department of Human Services web content is submitted to the Office of Information Systems Web Team to make website updates. The Web Team edits content and layout to ensure ADA compliance. The Web Team requests reports from National Information Consortium USA (NICUSA) listing issues to be

resolved. This list is distributed to corresponding content owners for correction. The Oregon.gov framework is continually audited for ADA compliance as content changes are made. The sites are available in English and 103 other languages. The Department of Human Services Office of Equity and Multicultural Services is responsible for service equity, ensuring Department of Human Services programs are available to all qualified Oregonians. More information about the Office of Equity and Multicultural Services can be found at: [https://www.oregon.gov/Department of Human Services/ABOUTDepartment of Human Services/OEMS/Pages/Services.aspx](https://www.oregon.gov/Department_of_Human_Services/ABOUTDepartment_of_Human_Services/OEMS/Pages/Services.aspx).

Effective Date: 10/01/2018

2.3.4 Lead Agency processes related to child care.

A required component of the consumer education website is a description of Lead Agency policies and procedures relating to child care (98.33(a) (1)). This information includes a description of how the state/territory licenses child care, a rationale for exempting providers from licensing requirements, the procedure for conducting monitoring and inspections of providers, and the policies and procedures related to criminal background checks.

Effective Date: 10/01/2018

a) Provide the link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in section 5.3.6:

<https://oregonearlylearning.com/providers-educators/become-a-provider/licensed-childcare/#mi>

<https://oregonearlylearning.com/providers-educators/become-a-provider/licensed-childcare/>

b) Provide the link to the procedure for conducting monitoring and inspections of child care providers, as described in section 5.3.2:

<https://oregonearlylearning.com/providers-educators/become-a-provider/licensed-childcare/#mi>

c) Provide the link to the policies and procedures related to criminal background checks for staff members of child care providers and the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds, as described in sections 5.4.1 and 5.4.11:

<https://oregonearlylearning.com/providers-educators/providers-educatorsabr/>

2.3.5 List of providers

The consumer education website must include a list of all licensed providers and, at the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt. Providers caring for children to whom they are related do not need to be included. The list of providers must be searchable by ZIP Code.

Effective Date: 10/01/2018

a) Provide the website link to the searchable list of child care providers:

<https://oregonearlylearning.com/parents-families/find-child-care-programs/>

b) In addition to the licensed providers that are required to be included in your searchable list, which additional providers are included in the Lead Agency's searchable list of child care providers (please check all that apply):

- License-exempt center-based CCDF providers
- License-exempt family child care (FCC) CCDF providers
- License-exempt non-CCDF providers
- Relative CCDF child care providers
- Other.

Describe

License exempt providers must opt in to be part of the searchable list of child care providers.

c) Identify what informational elements, if any, are available in the searchable results.
Note: Quality information (if available) and monitoring results are required on the website but are not required to be a part of the search results.

Licensed Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Days and hours, Department of Human Services listing status, age range

License-Exempt, non-CCDF Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt CCDF Center Based Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports

Other.

Describe:

Days and hours, Department of Human Services listing status, age range

License-Exempt CCDF Family Child Care

Contact Information

Enrollment Capacity

Years in Operation

Provider Education and Training

Languages Spoken

Quality Information

Monitoring Reports

Other.

Describe:

Days and hours, Department of Human Services listing status, age range.

License exempt providers must opt in to be part of the searchable list of child care providers.

Relative CCDF Providers

Contact Information

Enrollment Capacity

Years in Operation

Provider Education and Training

Languages Spoken

Quality Information

Monitoring Reports

Other.

Describe:

Other.

Describe:

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

2.3.6 Lead Agencies must also identify specific quality information on each child care provider for whom they have this information. The type of information provided is determined by the Lead Agency, and it should help families easily understand whether a provider offers services that meet Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Provider-specific quality information must only be posted on the consumer website if it is available for the individual provider.

Effective Date: 10/01/2018

a) How does the Lead Agency determine quality ratings or other quality information to include on the website?

- Quality rating and improvement system
- National accreditation
- Enhanced licensing system
- Meeting Head Start/Early Head Start requirements
- Meeting prekindergarten quality requirements
- School-age standards, where applicable
- Other.

Describe

b) For what types of providers are quality ratings or other indicators of quality available?

Licensed CCDF providers.

Describe the quality information:

Spark (QRIS) rating

Licensed non-CCDF providers.

Describe the quality information:

Spark (QRIS) rating

License-exempt center-based CCDF providers.

Describe the quality information:

License-exempt FCC CCDF providers.

Describe the quality information:

License-exempt non-CCDF providers.

Describe the quality information:

Relative child care providers.

Describe the quality information:

Other.

Describe

2.3.7 Lead Agencies are required to post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services on the consumer education website. These reports must include results of required annual monitoring visits and visits due to major substantiated complaints about a provider's failure to comply with health and safety requirements and child care policies. The reports must be in plain language and be timely to ensure that the results of the reports are available and easily understood by parents when they are deciding on a child care provider. Lead Agencies must post at least 3 years of reports when available, going forward (not retrospectively), beginning

October 1, 2018.

Certify by responding to the questions below:

Effective Date: 12/30/2019

a) What is the Lead Agency's definition of plain language and describe the process for receiving feedback from parents and the public about readability of reports.

Plain language is defined as language that is clear and easy to understand without unnecessarily difficult words and free from jargon. The Early Learning Division Child Care Safety Portal provides an opportunity for feedback:

<https://oregonearlylearning.com/parents-families/childcare-safetyportal#safetyportal>

b) Are monitoring and inspection reports in plain language?

If yes,

include a website link to a sample monitoring report.

https://oregonearlylearning.com/wp-content/uploads/2017/03/CRT-122_Sample_Center.pdf

https://oregonearlylearning.com/wp-content/uploads/2017/03/RF-204_Sample.pdf

https://oregonearlylearning.com/wp-content/uploads/2017/03/CRT-104_SAMPLE.pdf

If no,

describe how plain language summaries are used to meet the regulatory requirements and include a link to a sample summary.

c) Check to certify what the monitoring and inspection reports and/or their plain language summaries include:

Date of inspection

Health and safety violations, including those violations that resulted in fatalities or serious injuries.

Describe how these health and safety violations are prominently displayed.

The Child Care Safety Portal prominently displays all inspection results, all non-

compliance findings, all valid and unable to substantiate complaint findings, civil penalties, emergency suspensions, and other legal action history. These items are provided clearly in list format as part of each provider's webpage in the portal. There is also a separate location in the header section of each provider's webpage that provides the count of any child fatalities that may have occurred at the child care facility. Monitoring and inspection reports are posted for all visits, either by displaying a scanned PDF, effective 12/30/2019, or by displaying prominently on the provider's webpage observations and findings information from any complaint findings letters sent to providers for valid or unable to substantiate health and safety violations.

 [Corrective action plans taken by the State and/or child care provider.](#)

[Describe](#)

Corrective actions taken by the State and/or child care provider are listed as part of a provider's history page on the Child Care Safety Portal. The date that corrective actions were verified is also displayed as part of a providers' history page on the Child Care Safety Portal, effective 12/30/2019.

[d\) The process for correcting inaccuracies in reports.](#)

Administrative inaccuracies discovered are corrected by the agency. A verification of the corrected report is sent to the provider in a supersedes letter. The provider may seek to challenge the changes through the agency's findings review process. The process for correcting inaccuracies is outlined in the compliance letter sent to the facility following a complaint or monitoring visit. Providers are encouraged to provide a response to any non-compliance issued. The responses are posted on the safety portal.

[e\) The process for providers to appeal the findings in reports, including the time requirements, timeframes for filing the appeal, for the investigation, and for removal of any violations from the website determined on appeal to be unfounded.](#)

Providers have a right to review any action of decision affecting them. The findings review process is outlined in child care rule. Any child care facility may initiate a findings review by submitting a request within 30 days of the compliance letter date. If the provider is not satisfied with the result of the first level findings review, a second level review may be requested. If the finding is changed, it is changed in our data system which then updates our Child Care Safety Portal. The second level review decision is final.

f) How reports are posted in a timely manner. Specifically, provide the Lead Agency's definition of 'timely' and describe how it ensures that reports are posted within its timeframe. Note: While Lead Agencies define 'timely,' we recommend Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken

The Lead Agency posts reports within a month of the inspection or monitoring visit.

g) Describe the process for maintaining monitoring reports on the website. Specifically, provide the minimum number of years reports are posted and the policy for removing reports (98.33(a)(4)(iv)).

Inspection and monitoring visit reports and information on valid complaints and observed non-compliances are posted for a minimum of ten years. Information on complaints resulting in a finding of unable to substantiate are posted for a minimum of two years.

h) Any additional providers on which the Lead Agency chooses to include reports. Note - Licensed providers and CCDF providers must have monitoring and inspection reports posted on their consumer education website.

- License-exempt non-CCDF providers
- Relative child care providers
- Other.

Describe

2.3.8 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted on the consumer education website. This aggregate information on serious injuries and deaths must be organized by category of care (e.g., center, FCC, etc.) and licensing status for all eligible CCDF provider categories in the state. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. The aggregate report should not list individual provider-specific information or names.

Certify by providing:

a) The designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care (98.16 (ff)) and describe how the Lead Agency obtains the aggregate data from the entity.

Licensed child care providers are required to report serious injuries within 5 calendar days and deaths within 24 hours to the Early Learning Division Office of Child Care. The licensed facility may contact their licensing specialist by telephone or email, or make notification to Salem Central Office. Regulated subsidy providers may contact their licensing specialist, the Office of Child Care Central Office or the Department of Human Services to report serious injuries or deaths.

b) The definition of "substantiated child abuse" used by the Lead Agency for this requirement.

The Lead Agency uses the Department of Human Services definition of "founded child abuse": The definition of "founded" means there is reasonable cause to believe child abuse or neglect occurred.

c) The definition of "serious injury" used by the Lead Agency for this requirement.

Serious injury means any of the following: Injury requiring surgery; Injury requiring admission to a hospital; Choking or unexpected breathing problems; Unconsciousness; Concussion; Poisoning; Medication overdose; Broken bone; Severe head or neck injury; Chemical contact in eyes, mouth, skin, inhalation or ingestion; Severe burn; Allergic reaction requiring administration of Epi-Pen; Severe bleeding; Shock or confused state; Near-drowning. Child Care injuries and deaths reported to the Department of Human Services are cross-reported to the Early Learning Division for web posting.

d) The website link to the page where the aggregate number of serious injuries, deaths, and substantiated instances of child abuse are posted.

<https://oregonearlylearning.com/parents-families/childcare-safetyportal#reports>

Oregon collects data on aggregate numbers of serious injuries, deaths and substantiated instances of child abuse for licensed providers and for non-licensed CCDF providers.

2.3.9 The consumer education website should include contact information on referrals to local child care resource and referral organizations. How does the Lead Agency provide referrals to local CCR&R agencies through the consumer education website? Describe and include a website link to this information:

<https://oregonearlylearning.com/parents-families/find-child-care-programs/>. The Parents & Families page of the Early Learning Division Website has a direct link to child care referrals under “Find Child Care”. This link takes them directly to a statewide online search of child care providers or instructions for email, text and telephone contact.

Effective Date: 10/01/2018

2.3.10 The consumer education website should include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website. Describe and include a website link to this information:

On the “Contact Us” link, the Early Learning Division provides an email address for general questions. The email is checked daily by staff and forwarded to an appropriate person for response. There is also a telephone number answered by customer service representatives during business hours and an email address for questions on the Central Background Registry. <https://oregonearlylearning.com/contact>

Effective Date: 10/01/2018

2.3.11 Provide the website link to the Lead Agency's consumer education website. Note: An amendment is required if this website changes.

<https://oregonearlylearning.com/>

Effective Date: 10/01/2018

2.3.12 Other. Identify and describe the components that are still pending per the instructions on

CCDF Plan Response Options for Areas where Implementation is Still in Progress in the Introduction.

Due to a delay in the launch of the new Early Learning Information System, the the full monitoring and inspection reports are not available for posting. Currently, the website contains information on rule violations noted during the inspection, as well as full information on complaints and complaint findings. Oregon anticipates launching the Early Learning Information System in February 2019.

Aggregate reports for serious injuries, deaths or substantiated instances of child abuse for license exempt CCDF providers will be posted on the website by December 30, 2018.

Effective Date: 10/01/2018

2.4 Additional Consumer and Provider Education

Lead Agencies are required to certify that they will collect and disseminate information about the full diversity of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers. In addition to the consumer education website, the consumer education information can be provided through CCR&R organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4); 98.33(b)).

In questions 2.4.1 through 2.4.5, certify by describing:

2.4.1 How the Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state preK, as well as the availability of financial assistance to obtain child care services. At a minimum, describe what is provided (e.g., such methods as written materials, the website, and direct communications) and how information is tailored for these audiences.

The Lead Agency and the Department of Human Services use multiple methods to share information about child care services and other programs to eligible parents, the general public and child care providers.

The Department of Human Services website provides comprehensive information for parents, partners and the public on the child care subsidy program and other financial support services such as TANF, medical and food assistance with links to other resources outside the agency. Written materials are provided at local Department of Human Services offices.

The Early Learning Division website provides a wide range of information on early learning services available throughout the state including Relief Nurseries, Head Start, Early Head Start and other Oregon Pre-kindergarten programs, Vroom, and Healthy Families home visiting programs.

211info employs web-based referral and information including information on child care financial assistance and all other available health and social service related resources. Information is available by phone or text in order to accommodate different audiences.

Written materials are provided at local Department of Human Services offices specifically designed for parents:

DHS 0239 Child Care Assistance brochure: an introductory brochure for families not yet receiving child care assistance. It includes basic information about program eligibility and developmental screenings.

DHS 9863 Making the Most of Your Child Care Assistance brochure: for families who

are already eligible for the Employment Related Day Care subsidy program offering information about developmental screenings and coverage of child care during authorized work search periods after a job loss, medical leave and student hours for working parents.

DHS 8815 Tips for Choosing Your Child Care Provider sheet: for new and current subsidy families, an easy to follow check list including sample interview questions, observable signs of quality, referral and Spark (Quality Rating and Improvement System) information.

DHS 7485 Need a Child Care Provider flyer: for new and current subsidy families. Explains the benefit of using a provider who is already listed and approved for payment by the Department of Human Services.

Effective Date: 10/01/2018

2.4.2 The partnerships formed to make information about the availability of child care services available to families.

Partnerships are in place to make information about available child care services to families. Oregon uses a cross partner, regional approach for providing information to parents, providers and the general public on child care. 211info employs a multi-tiered communications and outreach strategy to ensure that consumers are informed about culturally responsive child care and related services. Contractors who provide early care and education services for the Early Learning Division and a number of other partners provide information to families. This includes, but is not limited to, local child care resource and referral programs, Early Learning Hubs, Oregon Health Authority, The Research Institute (Spark administrator), and the Oregon Center for Career Development in Childhood Care and Education at Portland State University. The Lead Agency and the Department of Human Services use multiple methods to share information about child care services and other programs.

The Department of Human Services website provides comprehensive information on the child care subsidy program, how to apply, provider requirements and other financial support services such as TANF, medical and food assistance with links to other resources outside the agency.

The Early Learning Division website provides a wide range of information on early learning services available throughout the state.

211info employs web-based referral and information including information on child care financial assistance and all other available health and social service related resources. The Child Care Resource and Referral system are primary partners in making the information about availability of child care services available to families. Information is available by phone or text in order to accommodate different audiences.

Effective Date: 10/01/2018

2.4.3 How the Lead Agency provides the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers. In the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners who assist in providing this information.

Effective Date: 10/01/2018

Temporary Assistance for Needy Families program:

211info provides comprehensive resource information via website search engine and by telephone. The referral includes service descriptions, contact information, information on intake procedures, eligibility, and documents needed to submit an application. The Department of Human Services provides information and application to families through direct contact and website. ERDC eligible families who have lost employment and need additional financial assistance are referred to TANF benefits by their benefit eligibility worker.

[Head Start and Early Head Start programs:](#)

Local child care resource and referral programs and 211info provide contact information via website search engine and by telephone on Head Start and Early Head Start Programs. Flyers are provided for Department of Human Services benefit eligibility workers with Head Start contact information and income limits. These are posted in branch office lobbies and in client interview areas. 211info referrals include service descriptions, contact information, information on intake procedures, eligibility, fees if any and documents needed to submit an application.

[Low Income Home Energy Assistance Program \(LIHEAP\):](#)

211info provides comprehensive resource information via website search engine and by telephone. The referral includes information on intake procedures, eligibility, and documents needed to submit an application.

[Supplemental Nutrition Assistance Programs \(SNAP\) Program:](#)

211info provides comprehensive resource information via website search engine and by telephone. The referral includes service descriptions, contact information, information on intake procedures, eligibility, and documents needed to submit an application. Department of Human Services applications include options for families to apply for multiple programs at one time. The ERDC reapplication form is combined with a SNAP application for benefits and allows application for SNAP benefits. During eligibility interviews workers will review current benefits with the family and offer to review eligibility for other potential benefits, including SNAP.

[Women, Infants, and Children Program \(WIC\) program:](#)

211info provides comprehensive resource information via website search engine and by telephone. The referral includes service descriptions, contact information, information on intake procedures, eligibility, and documents needed to submit an application.

[Child and Adult Care Food Program\(CACFP\):](#)

The child care resource and referral programs provide information on the Child and Adult Care Food Program to family based child care providers. Food program sponsors participate in the Registered Family Child Care Overview to provide information and recruit providers.

[Medicaid and Children's Health Insurance Program \(CHIP\):](#)

211info provides comprehensive resource information via website search engine and by telephone. The referral includes service descriptions, contact information, information on intake procedures, eligibility, and documents needed to submit an application.

[Programs carried out under IDEA Part B, Section 619 and Part C:](#)

211info provides comprehensive resource information via website search engine and by telephone. The referral includes service descriptions, contact information, information on intake procedures, eligibility, and documents needed to submit an application.

2.4.4 Describe how the Lead Agency makes available to parents, providers, and the general public information on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared. At a minimum, include what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners in providing this information.

The Early Learning Division has a strong partnership with the Maternal and Child Health section of the Oregon Health Authority who has strategic initiatives to educate parents, the general public, providers and other stakeholders on child development. The Early Learning Division also relies on the child care resource and referral system and the Early Learning Hubs to make information about best practices in child development available. The Early Learning Division coordinates with the Maternal and Child Health section of the Oregon Health Authority and the child care resource and referral programs to make information and research on healthy eating and physical

activity available to parents and providers. The Early Learning Division contracts and/or partners with the following entities to make information about research and best practice in child development available: the child care resource and referral system, Oregon ASK, Early Learning Hubs, Oregon Health Authority, The Research Institute – the administrator of Spark, Oregon’s Quality Rating and Improvement System, Portland State University Oregon Center for Career Development - the administrator for Oregon’s professional development system, Vroom contract sites, Department of Human Services - the administrator of Oregon’s CCDF subsidy program. The Early Learning Division website provides resources directly to parents on kindergarten readiness and brain building in early learning.

<https://oregonearlylearning.com/kindergarten-ready> The Early Learning Division promotes a statewide network of 24 sites to share Vroom with the families they serve through existing programming and partnerships, including home visiting networks, parenting classes, therapy sessions, and more. Vroom is a national early learning initiative that turns everyday activities for parents and caregivers of children ages 0-5 into brain-building opportunities, while also building literacy, math, and cognitive abilities. Vroom consists of a collection of multi-lingual learning tools, such as a free Smartphone app that include more than 1,000 such brain-building activities. In addition to these network sites, the Early Learning Division has shared Vroom via a series of educational conferences, the states’ child care licensing staff, and partnerships with large statewide entities, including the Oregon Health Authority and WIC. Information is available to parents on the Center for Disease Control and Prevention’s Act Early campaign. Act Early helps parents track their child’s development and provides them with milestones to look for and what to do if their child isn’t meeting those milestones.

Effective Date: 10/01/2018

2.4.5 Describe how information on the Lead Agency's policies regarding the social-emotional and behavioral issues and early childhood mental health of young children, including positive behavioral intervention and support models based on research and best practices for those from birth to school age, are shared with families, providers, and

the general public. At a minimum, include what information is provided, how the information is provided, and how information is tailored to a variety of audiences and include any partners in providing this information.

Oregon’s Early Learning Hub system, modeled on the theory of collective impact, brings together early learning providers, K-12 education, healthcare providers, human and social services, local businesses, and parents and families to allow the development of a system to best meet the needs of children and families in each community. The Hubs make information on social emotional/behavioral mental health and intervention supports available to parents through direct referrals to partners who provide services. This includes early childhood mental health consultants, developmental screening, Head Start, home visiting, and parent education and training. Oregon offers four standardized trainings through the Child Care Resource and Referral program focused on social and emotional development available to all child care providers. The trainings are: Building Blocks for Social Emotional Development Discovering Potential: Social and Emotional Development of School-age Children Implementing Developmental Screening Using the Ages and Stages Questionnaire– Third Edition Teaching Research Assistance to Child Care Providers Serving Children with Special Needs. All programs of the child care resource and referral system in the state are affiliated with the Early Learning Hubs in their regions with access to partners and county services that offer intervention supports to parents and information to child care providers. Multnomah County, the largest populated county in the state, partners with Child Care Resource and Referral Multnomah of to provide direct consultation services on early childhood mental health to child care programs.

Effective Date: 10/01/2018

2.4.6 Describe the Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds (98.16(ee)), including how those policies are shared with families, providers, and the general public.

The Early Learning Division is committed to substantially reducing and preventing

suspension, expulsion and other exclusionary practices in early learning settings so that all children have access to, and success in, high quality early learning settings that support kindergarten readiness. The policy statement articulates recommendations for meeting the training and resource needs to enhance parent and provider knowledge and skill in supporting children’s social-emotional development. Information on training and resources are broadly distributed through partners and websites. The State requires providers caring for children receiving child care assistance to have a policy that is communicated to parents on expulsion and suspension.

Effective Date: 10/01/2018

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings, including information on resources and services that the State can deploy, such as the use of the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under title XIX of the Social Security Act and developmental screening services available under IDEA Part B, Section 619 and Part C, in conducting those developmental screenings and in providing referrals to services for children who receive subsidies. Lead Agencies must also include a description of how a family or child care provider can use these resources and services to obtain developmental screenings for children who receive subsidies and who might be at risk of cognitive or other developmental delays, which can include social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)). Lead Agencies are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

2.5.1 Certify by describing:

Effective Date: 10/01/2018

- a) How the Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and where applicable, child care providers (98.15(b)(3)).

The Lead Agency and the Department of Human Services use multiple methods to share information about child care services and other programs to parents and the general public. Developmental screening information is included in Department of Human Services outreach materials including the Department of Human Services 0239 Child Care Assistance and Department of Human Services 9863 Making the Most of Your Child Care Assistance brochures. The Department of Human Services 0239 (recruitment brochure for new applicants) has been widely distributed to community colleges, libraries, Child Care Resource and Referral agencies, 211 Info, SNAP eligible families, the Oregon Employment Department and other partners. The Department of Human Services 9863 (information for families currently receiving child care benefits) has been distributed to branch offices. Child care providers receive information on conducting developmental screening through the Spark (Oregon's QRIS) process.

b) [The procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program - carried out under Title XIX of the Social Security Act \(42 U.S.C. 1396 et seq.\) - and developmental screening services available under Section 619 and Part C of the Individuals with Disabilities Education Act \(20 U.S.C. 1419, 1431 et seq.\).](#) **In Oregon, the Oregon Health Plan covers Early and Periodic Screening, Diagnosis, and Treatment. The Early Learning Hubs in Partnership with the Oregon Health Authority provide outreach to parents and child care providers on accessing the Oregon Health Plan. The Department of Human Services makes parents aware of the Oregon Health Plan and screening services during the eligibility process. Applications and informational brochures are available in branch office lobbies and during deskside interviews.**

c) [How the Lead Agency gives information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, ways it is provided, and any partners in this work.](#)

The Early Learning Division and the Department of Human Services partner closely with the Oregon Health Authority to provide outreach and information on developmental screening. The Department of Human Services eligibility workers are directed to provide information to families on Oregon Health Authority, Coordinated Care Organizations who provide developmental screening outreach

and referral. Department of Human Services 9863 Making the Most of Your Child Care Assistance brochures are also handed out as a resource to families which includes information on the importance of and how to access developmental screenings. Written materials on developmental screening are available at field offices. The Department of Human Services application for services form has questions about family members with a disability and children with special needs. If a parent is having a difficult time finding child care for a child, the eligibility worker is directed to follow up with additional questions and make a referral to the Inclusive Child Care Program. The Inclusive Child Care Program also provides information and referral on development screening.

https://public.health.oregon.gov/HealthyPeopleFamilies/Babies/HealthScreening/ABCD/Pages/abcd_toolkit.aspx

d) How CCDF families or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays.

All children in Oregon are eligible to receive developmental screening. Outreach to families and children including CCDF families, are widespread and include the following activities: Outcome metrics for the Early Learning Hubs include increasing the number of children who receive developmental screening prior to age three. These programs make referrals to services under Section 619 and Part C of the Individuals with Disabilities Education Act. The Department of Human Services eligibility workers provide information to families on developmental screening. Oregon has an online resource option available for parents and providers on Ages and Stages Questionnaires (<http://www.asqoregon.com/parentresources.php>). Oregon Health Authority contracts with pediatricians in all counties to deliver screening services to children (Oregon Health Plan screening). Child care providers participating in the QRIS are trained to conduct the screening or assist parents in conducting the screening and it is a part of program standards for star rated programs to conduct screening.

e) How child care providers receive this information through training and professional development.

Child care resource and referral agencies are partners in providing information to

child care providers and parents and provide Ages and Stages Questionnaires training to local providers through the Oregon Center for Career Development. This training is available in English and Spanish.

f) Provide the citation for this policy and procedure related to providing information on developmental screenings.

https://earlylearningcouncil.files.wordpress.com/2015/04/elc_screening_tools_report_final.pdf

2.6 Consumer Statement for Parents Receiving CCDF Funds

Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically (such as referral to a consumer education website) that contains specific information about the child care provider they select. This information about the child care provider selected by the parent includes health and safety requirements met by the provider, any licensing or regulatory requirements met by the provider, the date the provider was last inspected, any history of violations of these requirements, and any voluntary quality standards met by the provider. It must also describe how CCDF subsidies are designed to promote equal access, how to submit a complaint through a hotline, and how to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care (98.33(d)). Please note that if the consumer statement is provided electronically, Lead Agencies should consider how to ensure that the statement is accessible to parents and that parents have a way to contact someone to address questions they have.

2.6.1 Certify by describing:

Effective Date: 10/01/2018

a) How the Lead Agency provides parents receiving CCDF funds with a consumer statement.

Information on types of child care are posted on the Office of Child Care and the Department of Human Services website. The Department of Human Services mail a notification to participants detailing the types of child care available and the respective training requirements to assist in their determination to select quality child care settings.

b) What is included in the statement, including when the consumer statement is provided to families.

Parents receive notification upon connection to a Department of Human Services listed provider detailing the type of provider they've selected, provider training requirements met and Spark rating (if applicable). For each type of care, relative only, Regulated Subsidy Family child care and Regulated Subsidy Centers, licensed child care centers and licensed family child care homes, the consumer statement indicates licensing status and the Spark (Oregon's quality rating and improvement system) rating if applicable, and pre-service training completed by license exempt providers.

c) Provide a link to a sample consumer statement or a description if a link is not available.

The consumer letter identifies the name of the provider listed and approved to receive child care payments on behalf of the parent/guardian. The letter indicates the provider has completed a listing form, and passed a criminal background check. The letter identifies the type of child care chosen and the required training completed. There is no link available for this form.

3 Provide Stable Child Care Financial Assistance to Families

In providing child care assistance to families, Lead Agencies are required to implement these policies and procedures: a minimum 12-month eligibility and redetermination periods, a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for a job search of not fewer than 3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. Also, procedures for the enrollment of homeless children and children in foster care, if served, pending the completion of documentation, are required.

Note: Lead Agencies are not prohibited from establishing policies that extend eligibility beyond 12 months to align program requirements. For example, Lead Agencies can allow children enrolled in Head Start, Early Head Start, state or local prekindergarten, and other collaborative

programs to finish the program year. This type of policy promotes continuity for families receiving services through multiple benefit programs.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for vulnerable children and families. This section also addresses the policies that protect working families and determine a family's contribution to the child care payment.

3.1 Eligible Children and Families

At the time when eligibility is determined or redetermined, children must (1) be younger than age 13; (2) reside with a family whose income does not exceed 85 percent of the State's median income for a family of the same size and whose family assets do not exceed \$1,000,000 (as certified by a member of said family); and (3)(a) reside with a parent or parents who are working or attending a job training or educational program or (b) receives, or needs to receive, protective services and resides with a parent or parents not described in (3)(a.) (658P(4)).

3.1.1 Eligibility criteria based on a child's age

Effective Date: 01/01/2020

a) The CCDF program serves children

from birth

(weeks/months/years)

through 12

years (under age 13). . Note: Do not include children incapable of self-care or under court supervision, who are reported below in (b) and (c).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care?(658E(c)(3)(B), 658P(3))

No

Yes,

and the upper age is 18

(may not equal or exceed age 19).

If yes, Provide the Lead Agency definition of physical and/or mental incapacity: A child or youth age 13 to under age 18 (the end of the 12 month certification in which the child turns 18) who may require a level of care above the norm for his/her age due to disabilities, emotional or behavioral disorders, or special health care needs. Same as special needs child.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B))

No.

Yes

and the upper age is 17

(may not equal or exceed age 19)

d) How does the Lead Agency define the following eligibility terms?

"residing with":

Child shall reside with a parent, who is the person responsible for the care, control and supervision of the child. Parent means a parent by blood, marriage or adoption, legal guardian, or other person standing in loco parentis.

"in loco parentis":

In place of the parent; may include, but is not limited to a step-parent, guardian, or legal guardian.

3.1.2 Eligibility criteria based on reason for care

Effective Date: 04/01/2020

a) How does the Lead Agency define "working or attending a job training and educational program" for the purposes of CCDF eligibility at the time of determination? Provide the definitions below for:

"Working":

At least one caretaker must receive income from employment, includes self-employment, or through paid work experience, paid practicum assignments and Federal work study as part of an education program. There are no required minimum work hours. However, if the amount of subsidy payment is less than the parents' copayment, there is no child care need, therefore, no eligibility. Child care need also means that the care is necessary to maintain employment. Working also includes job search for those who become unemployed during the ERDC certification period.

"Job training":

Caretakers who are newly employed or a current employee and participating in paid mandatory training as part of employment are considered "working" and would meet the requirement for eligibility. Caretakers who are newly employed or a current employee and participating in paid mandatory training as part of employment are considered "working" and would meet the requirement for eligibility. If participating in the Occupational Training Child Care (OTCC) program, involvement in vocational training programs constitute "job training" and waive the requirement to be "working."

"Education":

Caretakers determined eligible for ERDC child care assistance based on employment can receive child care assistance for education that leads to a certificate, degree, or job-related knowledge and skills. The hours approved for education cannot exceed the approved work hours or a combined total of 50 authorized hours per week, or 215 per month. Parents participating in Baby Promise are eligible for education that leads to a certificate, degree, or job-related knowledge and skills. Parents participating in the Teen Parent contracted child care program are eligible for child care subsidy if the teen parent is attending high school or participating in an approved high school completion program sponsored by a local school district, community college, or certified private school, and the parent requires child care in order to attend and complete a program leading to GED or high school diploma. They qualify based on education alone and there is no work requirement. Teen parents are also eligible for up to 6 months of post-graduation child care if they are already

receiving the agency's subsidized child care and require transitional services for one of the following reasons: Employment search; Participation in a vocational education program or post-secondary education which requires a high school diploma or equivalent; job training program, cooperative work experience opportunity or a Bureau of Labor and Industry approved pre-apprenticeship program.

"Attending job training or education" (e.g. number of hours, travel time):

Attending job training has the same limitation of hours as employment as long as the training is paid time. Full time training is 50 hours a week, or 215 hours per month. Additional hours can be granted for up to a total of 75 hours a week, 323 hours per month if the paid training and travel time exceeds full time. Working parents receive up to a maximum of 20 hours a week for class time plus an additional 25% (five hours) for travel time. Authorized class hours cannot exceed the number of hours authorized for employment. Travel time is given by adding 25% to the total number of authorized class and work hours combined.

3.1.2 Eligibility criteria based on reason for care

b) Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training participation alone (without additional minimum work requirements)?

No.

If no, describe the additional work requirements:

Yes.

If yes, describe the policy or procedure:

Teen Parent child care is allowed for education only and does not have a minimum work requirement. Caretakers in the Occupational Training Child Care (OTCC) program are eligible for child care without the requirement to be employed.

3.1.2 Eligibility criteria based on reason for care

c) Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of three months of job search)

No.

Yes.

If yes, describe the policy or procedure. (including any differences in eligibility at initial eligibility determination vs. redetermination of eligibility):

3.1.2 Eligibility criteria based on reason for care

d) Does the Lead Agency provide child care to children in protective services?

No.

Yes. If yes:

i. Please provide the Lead Agency's definition of "protective services":

Note: Federal requirements allow other vulnerable children identified by the Lead Agency not formally in child protection to be included in the Lead Agency's definition of protective services for CCDF purposes. A Lead Agency may elect to provide CCDF-funded child care to children in foster care when foster care parents are not working or are not in education/training activities, but this provision should be included in the protective services definition above.

ii. Are children in foster care considered to be in protective services for the purposes of eligibility at determination?

No

Yes

iii. Does the Lead Agency waive the income eligibility requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis (658E(c)(5))?

No

Yes

iv. Does the Lead Agency provide respite care to custodial parents of children in protective services?

No

Yes

3.1.3 Eligibility criteria based on family income. Note: The question in 3.1.3 relates to initial determination. Redetermination is addressed in 3.1.7.

Effective Date: 03/01/2020

a) How does the Lead Agency define "income" for the purposes of eligibility at the point of determination?

Countable income includes all income received by the immediate family members living in the household except transfer income or earned income of children and foster care/guardianship payments. Gross income received through self-employment is allowed a 50% deduction or full cost deduction (when verified).

b) Provide the CCDF income eligibility limits in the table below at the time of initial determination. Complete columns (a) and (b) based on maximum eligibility at initial entry into CCDF. Complete columns (c) and (d) *only if* the Lead Agency is using income eligibility limits lower than 85 percent of the current state median income (SMI) at the initial eligibility determination point. Fill in the chart based on the most populous area of the state (the area serving the highest number of CCDF children). If the income eligibility limits are not statewide, please respond to c) below the table.

	(a)	(b)	(c)	(d)
Family Size	100% of SMI(\$/Month)	85% of SMI (\$/Month) [Multiply (a) by 0.85]	(IF APPLICABLE) (\$/Month) Maximum Initial or First Tier Income Limit (or Threshold) if Lower Than 85% of Current SMI	IF APPLICABLE) (% of SMI) [Divide (c) by (a), multiply by 100] Income Level if Lower Than 85% of Current SMI
1	3609	3068	N/A	N/A
2	4720	4012	2658	56.3
3	5830	4956	3349	57.4
4	6940	5899	4040	58.2

	(a)	(b)	(c)	(d)
5	8051	6843	4730	58.7

c) If the income eligibility limits are not statewide, describe how many jurisdictions set their own income eligibility limits and provide the income limit ranges across the jurisdictions (e.g. range from [lowest limit] to [highest limit])(98.16(i)(3)).

N/A

Reminder: Income limits must be established and reported in terms of current SMI based on the most recent data published by the Bureau of the Census (98.20(a)(2)(i)) even if the federal poverty level is used in implementing the program. SMI guidelines are available at: <https://www.acf.hhs.gov/ocs/resource/liheap-im2017-03>.

d) SMI source and year. Federal Fiscal Year 2020

e) Identify the most populous area of the State used to complete the chart above.

Multnomah County

f) What was the date (mm/dd/yyyy) that these eligibility limits in column (c) became effective? 03/01/2020

g) Provide the citation or link, if available, for the income eligibility limits.

<https://www.oregon.gov/DHS/ASSISTANCE/CHILD-CARE/Pages/Parents.aspx>

3.1.4 Lead Agencies are required to ensure that children receiving CCDF funds do not have family assets that exceed \$1,000,000, as certified by a family member (98.20(a)(2)(ii)).

Effective Date: 10/01/2018

a) Describe how the family member certifies that family assets do not exceed \$1,000,000 (e.g., a checkoff on the CCDF application).

Families attest at certification and recertification that they do not have assets exceeding \$1,000,000 .

b) Does the Lead Agency waive the asset limit on a case-by-case basis for families defined as receiving, or in need of, protective services?

- No.
- Yes.

If yes, describe the policy or procedure and provide citation:

3.1.5 Describe any additional eligibility conditions or priority rules applied by the Lead Agency during eligibility determination or redetermination (98.20(b)).

Priority processing allows homeless families who apply for ERDC and Baby Promise to start receiving benefits immediately. The caretaker will initially self-report income and work hours. Once the case is open the client is given 45 days to supply any required income verification. When the immunization requirement is not met families are given 12 months to comply or supply verification of a religious or medical exemption.

Effective Date: 04/01/2020

3.1.6 Lead Agencies are required to take into consideration children's development and promote continuity of care when authorizing child care services (98.21(f); 98.16(h)(6)). Check the approaches, if applicable, that the Lead Agency uses when considering children's development and promoting continuity of care when authorizing child care services.

Effective Date: 10/01/2018

- Coordinating with Head Start, prekindergarten, or other early learning programs to create a package of arrangements that accommodates parents' work schedules
- Inquiring about whether the child has an Individualized Education Program (IEP) or Individual Family Services Plan (IFSP)
- Establishing minimum eligibility periods greater than 12 months
- Using cross-enrollment or referrals to other public benefits
- Working with IDEA Part B, Section 619 and Part C staff to explore how services included in a child's IEP or IFSP can be supported and/or provided onsite and in

collaboration with child care services

- Providing more intensive case management for families with children with multiple risk factors;
- Implementing policies and procedures that promote universal design to ensure that activities and environments are accessible to all children, including children with sensory, physical, or other disabilities
- Other.

Describe:

The Department of Human Services contracts with eight Head Start programs providing child care slots in high-quality care. Agency families with risk factors who receive a Temporary Assistance to Needy Families grant will be served with case management services.

3.1.7 Policies and processes for graduated phase-out of assistance at redetermination.

Effective Date: 04/01/2020

Lead Agencies are required to provide for a graduated phase-out of assistance for families whose income has increased above the state's initial income threshold at the time of redetermination but remains below the federal threshold of 85 percent of the state median income. Providing a graduated phase-out promotes continuity by allowing for wage growth, allows for a tapered transition out of the child care subsidy program as income increases, and supports long-term self-sufficiency for families.

- i. 85 percent of SMI for a family of the same size
- ii. An amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold that:
 - (A) Takes into account the typical household budget of a low-income family
 - (B) Provides justification that the second eligibility threshold is:
 - (1) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability
 - (2) Reasonably allows a family to continue accessing child care services without unnecessary disruption.

At redetermination, a child shall be considered eligible if his or her parents are working or attending a job training or educational program even if their income exceeds the Lead Agency's income limit to initially qualify for assistance as long as their income does not exceed the second tier of eligibility (98.21(a); 98.21(b)(1)). Note that once deemed eligible, the family shall be considered eligible for a full minimum 12-month eligibility period, even if their income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A family eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible families with the exception of the copayment restrictions, which do not apply to a graduated phase-out. To help families transition off of child care assistance, Lead Agencies may gradually adjust copay amounts for families whose children are determined eligible under a graduated phase-out and may require additional reporting on changes in family income. However, Lead Agencies must still ensure that any additional reporting requirements do not constitute an undue burden on families.

Effective Date: 04/01/2020

a) Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.

- N/A - The Lead Agency sets its initial eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- N/A - The Lead Agency sets its exit eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- The Lead Agency sets the second tier of eligibility at 85 percent of SMI.

Describe the policies and procedures.

For ERDC and Baby Promise, the initial eligibility income limit for families is under 185% FPL. Once a family is determined eligible, the income limit during the 12 month certification period and at recertification the (exit income limit) is 85% SMI for Baby Promise and 85% SMI or 250% FPL whichever is higher for ERDC. Increases in income that occur during an ongoing Baby Promise or ERDC case do not need to be reported unless the income is at or above the exit income limit. ERDC cases that remain eligible above 85% SMI but under 250% FPL are paid through Oregon general funds. 250% FPL exit income was set by Oregon Legislature.

Provide the citation for this policy or procedure.

<https://www.oregon.gov/DHS/ASSISTANCE/CHILD-CARE/Pages/Parents.aspx>

OAR 461-155-0150

- The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.

Provide the second tier of eligibility for a family of three.

N/A

Describe how the second eligibility threshold:

- i. Takes into account the typical household budget of a low-income family:

N/A

- ii. Is sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability:

N/A

- iii. Reasonably allows a family to continue accessing child care services without unnecessary disruption:

N/A

- iv. Provide the citation for this policy or procedure:

N/A

- Other.

Identify and describe the components that are still pending per the instructions on *CCDF Plan Response Options for Areas where Implementation is Still in Progress* in the Introduction.

N/A

3.1.7 b) To help families transition from assistance, does the Lead Agency gradually adjust copays for families eligible under the graduated phase-out period?

No

Yes

i. If yes, describe how the Lead Agency gradually adjusts copays for families under a graduated phase-out.

ii. If yes, does the Lead Agency require additional reporting requirements during the graduated phase-out period? *(Note: Additional reporting requirements are also discussed in section 3.3.3 of the plan.)*

No.

Yes.

Describe:

N/A

3.1.8 Fluctuation in earnings.

Lead Agencies are required to demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (658E(c)(2)(N)(i)(II)). The Lead Agency must put in place policies that ensure that temporary increases in income, including temporary increases that can result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family copayments (98.21(c)). Check the processes, if applicable, that the Lead Agency uses to take into account irregular fluctuations in earnings and describe, at a minimum, how temporary increases that result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) do not affect eligibility or family copayments.

Effective Date: 04/01/2020

Average the family's earnings over a period of time (i.e. 12 months).

Describe:

When determining ERDC and Baby Promise eligibility, initially or at recertification, income can be averaged over the 12-month period if the initial month income is lower or higher than what is expected for ongoing months. Income can also be averaged when income intended to cover a 12-month period is received over a shorter period. For ERDC, the family's copayment is determined at initial certification. The copayment will not increase during the 12-month certification period due to wage increases or job changes. Policy citation

OAR 461-150-0090, 461-150-0060

- Request earning statements that are most representative of the family's monthly income.

Describe:

- Deduct temporary or irregular increases in wages from the family's standard income level.

Describe:

- Other.

Describe:

3.1.9 Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination (98.68(c)). Check the information that the Lead Agency documents and verifies and describe, at a minimum, what information is required and how often. Check all that apply.

Effective Date: 04/01/2020

- Applicant identity.

Describe:

Generally, this is checked one time by the subsidy agency for new applicants not in the system if the identity appears questionable. Verifying identity is confirmed through photo identification, wage stubs, birth certificate or other documentation. Applicant identity is used for TANF, SNAP, ERDC, Baby Promise, and Special Populations Child Cares subsidies.

- Applicant's relationship to the child.

Describe:

The Department of Human Services and the Early Learning Division's Special Populations subsidy programs check applicant's relationship to the child only if they are a new applicant, they are not in the agency system and it appears

questionable. Verification is confirmed through birth certificate, letter of custody, baptismal certificate, military service papers, immigration papers, school records, social security card or records. Also used for TANF and SNAP.

- Child's information for determining eligibility (e.g., identity, age, citizen/immigration status).

Describe:

New applicants; immigration status; child must be a citizen or meet immigration status requirements. If questionable, subsidy agency will review birth certificate, lawful permanent residency card, certificate of citizenship or other documentation. No further verification is needed unless questionable or a change in citizen status is reported. For children enrolled in programs that are subject to Head Start Performance standards and supported by both Head Start and CCDF funds, parents are required to submit verification of Head Start enrollment in lieu of other documentation. For children in contracted programs, a Head Start Eligibility Checklist could be used as verification.

- Work.

Describe:

Work and/or job training is verified by wage stubs, employer letter, W-2 forms, or online sources at certification. Federal work study is verified by wage stubs and financial aid award letter at certification and recertification. Additional verification may be requested if the client requests an adjustment in benefits during their certification or a new member joins the filing group. This applies to ERDC, Baby Promise, and Special Populations subsidy programs.

- Job training or educational program.

Describe:

Student status is verified by, school registration, current class schedule, and federal financial aid letter. Federal financial aid letter or <https://fafsa.ed.gov/FAFSA/app/schoolSearch> to verify the institution is approved to receive federal financial aid. This is verified at certification if subsidy for school hours is requested. This applies to ERDC, Baby Promise, and Special Populations subsidy programs.

Family income.

Describe:

Wage stubs, award letters, employer letters, tax documentation (self-employed) and online sources are used to verify family income. This is verified at certification and recertification and applies to TANF, SNAP, Baby Promise, and ERDC subsidy programs.

Household composition.

Describe:

The Department of Human Services checks household composition at certification and recertification only if it appears questionable through photo identification or identification card, voter registration card, birth certificate, wage stubs, letter of custody, adoption papers, or other documentation at certification and recertification.

Applicant residence.

Describe:

The Department of Human Services requires applicants to live in Oregon and must intend to stay in Oregon. An Oregon residency address is required on the application for benefits at certification and recertification. This applies to TANF, Baby Promise, and the ERDC subsidy program. The Special Populations subsidy programs require applicants to reside in Oregon at the time of eligibility determination and remain in Oregon for benefits to continue.

Other.

Describe:

3.1.10 Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

Effective Date: 04/01/2020

Time limit for making eligibility determinations

Describe length of time:

Agencies have 45 days from the date of a request by an applicant to obtain verification and determine eligibility. The 45 day time period can be extended if the client needs additional time due to circumstances beyond their control.

Track and monitor the eligibility determination process

Other.

Describe:

None

3.1.11 Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement.

Lead Agencies are required to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child younger than age 6 (98.16(v); 98.33(f)).

Lead Agencies must coordinate with TANF programs to ensure that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the state/territory TANF agency in accordance with Section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

Note: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 10/01/2018

a) Identify the TANF agency that established these criteria or definitions: Oregon Department of Human Services

b) Provide the following definitions established by the TANF agency:

"Appropriate child care":

(a) both the provider and the place where care is provided meet the Department of Human Services' health, safety and provider requirements defined in administrative rules; (b) the care accommodates the parent's work schedule; and (c) the care meets the specific needs of the child, such as age, developmental needs and special needs requirements.

"Reasonable distance":

The parent's total travel time from home to the child care provider and the workplace or JOBS activity will be no more than one hour either way unless a longer commute time is customary in the community.

"Unsuitability of informal child care":

The Department of Human Services requires informal child care providers to meet health and safety standards, including background checks. Care that does not meet the criteria in 'appropriate child care' would be considered unsuitable.

"Affordable child care arrangements":

Those where the expense to the parent(s) is less than ten percent of family income.

c) How are parents who receive TANF benefits informed about the exception to the individual penalties associated with the TANF work requirements?

In writing

Verbally

Other.

Describe:

d) Provide the citation for the TANF policy or procedure:

OAR 461-135-0075 & 461-130-0310

3.2 Increasing Access for Vulnerable Children and Families

Lead Agencies are required to give priority for child care assistance to children with special needs, which can include vulnerable populations, in families with very low incomes and to children experiencing homelessness (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination (i.e., the establishment of a waiting list or the ranking of eligible families in priority order to be served).

Note:

CCDF defines "child experiencing homelessness" as a child who is homeless, as defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a) (98.2).

3.2.1 Describe how the Lead Agency defines:

Effective Date: 10/01/2018

a) "Children with special needs":

A child or youth under age 18 who may require a level of care above the norm for his or her age, due to disabilities, emotional or behavioral disorders, or special health needs. Child care services are prioritized with higher reimbursement rates.

b) "Families with very low incomes":

Children in families with incomes under 185% of the Federal Poverty Level who are transitioning off TANF cash benefits are considered families with very low income. When the ERDC reservation list is implemented, families who meet this requirement are able to receive subsidy immediately as they are considered a vulnerable population at risk of returning to TANF benefits.

3.2.2 Describe how the Lead Agency will prioritize or target child care services for the following children and families.

Effective Date: 10/01/2018

a) Identify how services are prioritized for children with special needs. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

b) Identify how services are prioritized for families with very low incomes. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

c) Identify how services are prioritized for children experiencing homelessness, as defined by the CCDF. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

Children experiencing homelessness are allowed to enroll in the subsidy program while required documentation is located.

d) Identify how services are prioritized, if applicable, for families receiving TANF program funds, those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF (98.16(i)(4)). Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

When the ERDC reservation list is implemented, families who meet specific requirements are able to bypass the list. Those able to bypass the reservation list include families transitioning off TANF.

3.2.3 List and define any other priority groups established by the Lead Agency.

Other priority groups who may bypass the reservation list when it is in effect includes families eligible in the current or preceding three months for the Temporary Assistance to Domestic Violence Survivors grant, children involved with Child Protective Services who have child care as part of their safety plan, families accessing contracted child care slots and families who are reapplying for ERDC after a break in eligibility of less than two calendar months.

Effective Date: 10/01/2018

3.2.4 Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.2.3.

The other priority groups may bypass the reservation list.

3.2.5 Lead Agencies are required to expend CCDF funds to (1) permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained, (2) provide training and TA to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving homeless children and families (addressed in section 6), and (3) conduct specific outreach to homeless families (658E(c)(3); 98.51).

Effective Date: 04/01/2020

a) Describe the procedures to permit the enrollment of children experiencing homelessness while required documentation is obtained.

Children experiencing homelessness are given priority processing which allows families to apply for ERDC and Baby Promise to start receiving benefits immediately. The caretaker will initially self-report income and work hours. Once the case is open the client is given 45 days to supply any required income verification. When the immunization requirement is not met families are given 12 months to comply or supply verification of a medical or non-medical exemption.

b) Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness (as defined by CCDF Rule) and their families.

- Lead Agency accepts applications at local community-based locations
- Partnerships with community-based organizations
- Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care
- Other

Note: The Lead Agency shall pay any amount owed to a child care provider for services provided as a result of the initial eligibility determination, and any CCDF payment made prior to the final eligibility determination shall not be considered an error or improper

payment (98.51(a)(1)(ii)).

3.2.6 Lead Agencies must establish a grace period that allows homeless children and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements (as described in section 5). The length of such a grace period shall be established in consultation with the state, territorial, or tribal health agency (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

Note:

Any payment for such a child during the grace period shall not be considered an error or improper payment (98.41(a)(1)(i)(C)(2)).

Effective Date: 04/01/2020

a) Describe procedures to provide a grace period to comply with immunization and other health and safety requirements, including how the length of the grace period was established in consultation with the state, territorial, or tribal health agency for:

Children experiencing homelessness (as defined by Lead Agency's CCDF)

ERDC and Baby Promise is opened immediately for children in families experiencing homelessness. The caretaker can self-report gross family income and work hours. After the case is open the family is given 45 days to supply any needed verification. This results in a case being open for 2 to 3 months depending on the date benefits are requested. The time period can be extended. Families who mark "no" to immunization are given up to 3 months to comply with immunization requirements or supply verification of a medical or non-medical exemption. The Lead Agency worked in consultation with the Oregon Health Authority to establish the immunization grace period.

Provide the citation for this policy and procedure.

OAR 461-170-0150 and OAR 461-175-0300

Children who are in foster care.

ERDC and Baby Promise is opened immediately for children in foster care. The caretaker can self-report gross family income and work hours. After the case is open the family is given 45 days to supply any needed verification. This results in a case being open for 2 to 3 months depending on the date benefits are

requested. The time period can be extended. Families who mark "no" to immunization are given up to 3 months to comply with immunization requirements or supply verification of a medical or non-medical exemption.

Provide the citation for this policy and procedure.

OAR 461-170-0150 and OAR 461-175-0300

b) Describe how the Lead Agency coordinates with licensing agencies and other relevant state, territorial, tribal, and local agencies to provide referrals and support to help families with children receiving services during a grace period comply with immunization and other health and safety requirements (98.41(a)(1)(i)(C)(4)).

Families who receive a grace period to comply with immunizations are referred to county public health in order to develop a plan to complete immunizations.

c) Does the Lead Agency establish grace periods for other children who are not experiencing homelessness or in foster care?

No.

Yes.

Describe:

3.3 Protection for Working Families

3.3.1 12-Month eligibility.

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in income (as long as the income does not exceed the federal threshold of 85 percent of the state median income) or temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

This change means that a Lead Agency may not terminate CCDF assistance during the 12-month period if a family has an increase in income that exceeds the state's income eligibility threshold, but not the federal threshold of 85 percent of SMI. The Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences a temporary

job loss or a temporary change in participation in a training or educational activity. A temporary change in eligible activity includes, at a minimum, any time-limited absence from work for an employed parent due to such reasons as the need to care for a family member or an illness; any interruption in work for a seasonal worker who is not working; any student holiday or break for a parent participating in a training or educational program; any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program; any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency; a child turning 13 years old during the 12-month eligibility period (except as described in 3.1.1); and any changes in residency within the state, territory, or tribal service area.

Effective Date: 04/01/2020

a) Describe the Lead Agency's policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements, including when a family experiences a temporary change in activity.

Families determined eligible for ERDC and Baby Promise are given a 12-month certification period. Child care continues to be covered for short term losses of employment or medical leave, up to 3 months. Additional time can be allowed if an employer verifies an employee will be called back to work after a layoff, they must give a return to work date which falls within the certification period. Changes in income do not need to be reported unless income goes above the program exit income limit or the income change is a reduction and will reduce the family copayment. For ERDC, temporary changes in income resulting in the parent being unable to afford the copayment, families can supply verification of actual income and have their copayment reduced for the month their income decreased. The lower income must result in at least a \$25 reduction in the month's copayment. Child care hours can be increased during the certification period, but not decreased. This supports continuity of care. Caretakers on medical leave, including maternity leave receive a reduced copayment based on income during the leave period. Caretakers who experience a job loss or medical situations will be given up to three months past the certification end date to find new employment or return to work. Teen parent child care contracted slots are approved for a year. Summer programs are covered where they are offered.

If a child turns 13 years of age during the 12-month certification period, the subsidy continues through the end of the certification period.

There is no change in the 12-month certification when a family changes residency within Oregon.

b) How does the Lead Agency define "temporary change?"

A non-permanent loss of employment meaning the client is laid off with an expected return to work date. Seasonal employees being called back to work after a break in employment can qualify for more than 3 months of continued child care subsidy when a return to work date has been verified by the employer. Periods of medical leave are covered when the caretaker is unable to work. Medical documentation is required except for maternity leave which is automatically approved for 3 months without requiring medical documentation. When a caretaker experiences a permanent job loss this means the caretaker does not plan to return to the employer, must reapply to return to the employer or a return to work date was not given to the employee. Caretakers are given up to three full months of continued child care subsidy with waived copayment to locate new employment. When new employment is not reported to the subsidy agency by the end of the caretaker's work search period, the case is closed. A work search notification letter with employment resources, a reminder to report new employment and the case closure date is automatically mailed to the caretaker when a permanent job loss is reported. A second letter is automatically mailed to the caretaker in the closure months

c) Provide the citation for this policy and/or procedure.

OAR's 461-160-0040, 461-170-0011, 461-170-0150 and 461-180-0005

3.3.2 Option to discontinue assistance during the 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program, otherwise known as a parent's eligible activity (i.e., if the parent experiences a temporary change in his or her status as working or participating in a training or educational program, as described in section 3.3.1 of the plan).

If the Lead Agency chooses the option to discontinue assistance due to a parent's non-temporary loss or cessation of eligible activity, it must continue assistance at least at the same level for a period of not fewer than 3 months after each such loss or cessation for the parent to engage in a job search and to resume work or resume attendance in a job training or educational program. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Lead Agency option, for an additional minimum 12-month eligibility period.

Effective Date: 10/01/2018

a) Does the Lead Agency choose to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss or cessation of eligible activity and offer a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity?

No, the state/territory does not allow this option to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program.

Yes, the Lead Agency discontinues assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of eligible activity and provides a minimum 3-month period of job search. If yes:

i. Provide a summary describing the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change:

The subsidy agency will terminate assistance prior to the 12th month if the parent has a permanent loss of employment. A permanent loss mean the caretaker does not plan to return to this employer, and a return to work date was not given to the employee. Clients are given up to three full months with waiving the copay to locate new employment. When new employment is not reported to the subsidy agency by the end of the client's work search period the case is closed. A work search notification letter with employment resources, a reminder to report new employment and the case closure date is automatically mailed to the client when a permanent job loss is reported. A second letter is automatically mailed to the client in the closure month.

ii. Describe what specific actions/changes trigger the job-search period.

Client reports a loss of employment without an expected return to work date.

iii. How long is the job-search period (must be at least 3 months)?

A minimum of three months. Those reporting an expected return to work date that is later than the three month period are granted a longer work search time frame up to the third month after their certification end date.

iv. Provide the citation for this policy or procedure.

OAR's 461-160-0040, 461-170-0011, 461-170-0150 and 461-180-0005.

b) The Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check and describe any circumstances in which the Lead Agency chooses to discontinue assistance prior to the next 12-month redetermination. Check all that apply.

Not applicable.

Excessive unexplained absences despite multiple attempts by the Lead Agency or designated entity to contact the family and provider, including the prior notification of a possible discontinuation of assistance.

i. Define the number of unexplained absences identified as excessive:

ii. Provide the citation for this policy or procedure:

A change in residency outside of the state, territory, or tribal service area.

Provide the citation for this policy or procedure:

OAR 461-120-0010

Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility.

Describe the violations that lead to discontinued assistance and provide the citation for this policy or procedure.

Child care cases can be closed prior to the end of the 12-month eligibility period if it was found that an applicant provided untrue, incomplete or inaccurate information at the point when their eligibility was determined. OAR 461-105-0020.

3.3.3 Change reporting during the 12-month eligibility period.

The Lead Agency must describe the requirements for parents to report changes in circumstances during the 12-month eligibility period and describe efforts to ensure that such requirements do not place an undue burden on eligible families, which could impact the continuity of care for children and stability for families receiving CCDF services (98.16(h)(1)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.1.7(b).

Families are required to report a change to the Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the state median income, taking into account irregular fluctuations in income (98.21(e)(1)). If the Lead Agency chooses the option to terminate assistance, as described in section 3.3.2 of the plan, they may require families to report a non-temporary change (as described in section 3.3.3 of the plan) in work, training or educational activities (otherwise known as a parent's eligible activity).

Effective Date: 10/01/2018

a) Does the Lead Agency require families to report a non-temporary change in a parent's eligible activity?

No

Yes

b) Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of SMI or that impact the Lead Agency's ability to contact the family or pay the child care providers (e.g., a family's change of address, a change in the parent's choice of child care provider).

Check and describe any additional reporting requirements required by the Lead Agency during the 12-month eligibility period. Check all that apply.

Additional changes that may impact a family's eligibility during the 12-month period.

Describe:

Income increases over the exit limit, someone moves in or out of the home, someone is no longer working, new employment during work search period,

a discharged military member is returning from active duty in a war zone.

Changes that impact the Lead Agency's ability to contact the family.

Describe:

Change in address.

Changes that impact the Lead Agency's ability to pay child care providers.

Describe:

Changing or adding a provider; a child moving into or out of the home.

Any additional reporting requirements that the Lead Agency chooses, as its option to require from parents during the 12-month eligibility period, shall not require an office visit. In addition, the Lead Agency must offer a range of notification options to accommodate families.

c) How does the Lead Agency allow for families to report changes to ensure that reporting requirements are not burdensome and to avoid an impact on continued eligibility between redeterminations? Check all that apply.

Phone

Email

Online forms

Extended submission hours

Postal Mail

FAX

In-person submission

Other.

Describe:

d) Families must have the option to voluntarily report changes on an ongoing basis during the 12-month eligibility period. Lead Agencies are required to act on information reported by the family if it will reduce the family's co-payment or increase the family's subsidy. Lead Agencies are prohibited from acting on information reported by the family that would reduce the family's subsidy unless the information reported indicates that the family's income exceeds 85 percent of SMI after considering irregular fluctuations in income or, at the option of the Lead Agency, the family has experienced a non-temporary

change in eligible activity.

i. Describe any other changes that the Lead Agency allows families to report.

Changes in income do not need to be reported unless income goes above the program exit income limit or the income change is a reduction and will reduce the family copayment. Child care hours can be increased during the certification period, but not decreased. This will allow for continuity of care. Caretakers on medical leave, including maternity leave receive a reduced copayment based on income during the leave period. Caretakers who experience a job loss or medical situations will be given an extended period of up to three months past the certification end date to find new employment or return to work.

ii. Provide the citation for this policy or procedure.

OAR's 461-170-0150, 461-170-0011, 461-160-0040

3.3.4 Prevent the disruption of employment, education, or job training activities

Lead Agencies are required to have procedures and policies in place to ensure that parents (especially parents receiving assistance under the TANF program) are not required to unduly disrupt their employment, education, or job training activities to comply with the Lead Agency's or designated local entity's requirements for the redetermination of eligibility for assistance (658E(c)(2)(N)(ii); 98.21(d)).

Examples include developing strategies to inform families and their providers of an upcoming redetermination and the information that will be required of the family, pre-populating subsidy renewal forms, having parents confirm that the information is accurate, and/or asking only for the information necessary to make an eligibility redetermination. In addition, states and territories can offer a variety of family-friendly methods for submitting documentation for eligibility redetermination that considers the range of needs for families in accessing support (e.g. use of languages other than English, access to transportation, accommodation of parents working non-traditional hours, etc.).

Effective Date: 10/01/2018

a) Identify, where applicable, the Lead Agency's procedures and policies to ensure that parents (especially parents receiving TANF program funds) do not have their employment, education, or job training unduly disrupted to comply with the

state/territory's or designated local entity's requirements for the redetermination of eligibility.

- Advance notice to parents of pending redetermination
- Advance notice to providers of pending redetermination
- Pre-populated subsidy renewal form
- Online documentation submission
- Cross-program redeterminations
- Extended office hours (evenings and/or weekends)
- Other.

Describe:

b) How are families allowed to submit documentation, described in 3.1.9, for redetermination? Check all that apply.

- Postal Mail
- Email
- Online forms
- FAX
- In-person submission
- Extended submission hours
- Other.

Describe:

3.4 Family Contribution to Payments

Lead Agencies are required to establish and periodically revise a sliding-fee scale for CCDF families that varies based on income and the size of the family to determine each family's contribution (i.e., co-payment) that is not a barrier to families receiving CCDF funds (658E(c)(5)). In addition to income and the size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. Lead Agencies, however, may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

Note: To help families transition off of child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out.

However, section 3.4 applies only to families in their initial/entry eligibility period. See section 3.1.7 Graduated Phase-Out regarding co-pays during the graduated phase-out period.

3.4.1 Provide the CCDF co-payments in the chart below according to family size for one child in care.

Effective Date: 03/01/2020

a) Fill in the chart based on the most populous area of the State (area serving highest number of CCDF children).

	(a)	(b)	(c)	(d)	(e)	(f)
Family Size	Lowest Initial or First Tier Income Level Where Family Is First Charged Co-Pay (Greater Than \$0)	What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (a)?	The Co-Payment in Column (b) is What Percentage of the Income in Column (a)?	Highest Initial or First Tier Income Level Before a Family Is No Longer Eligible	What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (d)?	The Co-Payment in Column (e) is What Percentage of the Income in Column (d)?
1	N/A	N/A	N/A	N/A	N/A	N/A
2	28	27	96.4	2657.99	682	25.6
3	28	27	96.4	3348.99	864	25.7
4	28	27	96.4	4039.99	1047	25.9
5	28	27	96.4	4729.99	1233	26.0

b) What is the effective date of the sliding-fee scale(s)? 03/01/2020

c) Identify the most populous area of the state used to complete the chart above.

Multnomah County.

d) Provide the link to the sliding-fee scale: <https://erdccalc.dhsoha.state.or.us/>

e) If the sliding-fee scale is not statewide, describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)).

N/A

3.4.2 How will the family's contribution be calculated, and to whom will it be applied?

Check all that apply.

Effective Date: 10/01/2018

The fee is a dollar amount and:

- The fee is per child, with the same fee for each child.
- The fee is per child and is discounted for two or more children.
- The fee is per child up to a maximum per family.
- No additional fee is charged after certain number of children.
- The fee is per family.
- The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

Other.

Describe:

The fee is a percent of income and:

- The fee is per child, with the same percentage applied for each child.
- The fee is per child, and a discounted percentage is applied for two or more children.
- The fee is per child up to a maximum per family.
- No additional percentage is charged after certain number of children.
- The fee is per family.
- The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

Other.

Describe:

3.4.3 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder ' Lead Agencies may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

Effective Date: 10/01/2018

No.

Yes, check and describe those additional factors below.

Number of hours the child is in care.

Describe:

Lower co-payments for a higher quality of care, as defined by the state/territory.

Describe:

Families receive a lower copay when they are using a Spark star rated provider (Oregon's QRIS) as follows: the \$27 copay is reduced to \$0, copays of \$28 to \$200 are reduced by \$20 a month, copays of \$201 or more are reduced by 10%.

Other.

Describe:

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.45(k)) or for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Lead Agency (98.45(k)(4)). Does the Lead Agency waive family contributions/co-payments for any of the following? Check all that apply.

Effective Date: 03/08/2020

No, the Lead Agency does not waive family contributions/co-payments.

- Yes, the Lead Agency waives family contributions/co-payments for families with an income at or below the poverty level for families of the same size.
- Yes, the Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Lead Agency for purposes of CCDF eligibility.

Describe the policy and provide the policy citation.

- Yes, the Lead Agency waives family contributions/co-payments for other criteria established by the Lead Agency.

Describe the policy and provide the policy citation.

There are a number of situations where the copayment is waived.

o Authorized work search during lapse of employment 461-160-0040(5)(b)

o Head Start Contracted Slots 461-135-0404

o Working TANF families receive child care funded through CCDF and are not assessed a copayment.

o Baby Promise is a contract slot program and family contributions for eligible children are waived. <https://oregonearlylearning.com/baby-promise#BPfaq>

o In the event of a State declared emergency related to COVID-19, the ERDC program will waive copayments for all families beginning on March 8, 2020. Waiver of copayments will last until funding runs out. The certification period for all families determined eligible under this waiver will be for a 12 month certification period and their copays will be waived throughout this 12 month certification period. <https://www.oregon.gov/DHS/ASSISTANCE/CHILD-CARE/Pages/ERDC-COVID19-Emergency.aspx>

Citations: 461-135-0415(1)

Family Services Manual (J-4) <https://www.oregon.gov/DHS/SSP/FSM/FSM/07cc-j.pdf>

4 Ensure Equal Access to Child Care for Low-Income Children

A core purpose of CCDF is to promote parental choice and to empower working parents to make their own decisions regarding the child care services that best suit their family's needs. Parents have the option to choose from center-based care, family child care or care provided in the child's own home. In supporting parental choice, the Lead Agencies must ensure that families receiving CCDF funding have the opportunity to choose from the full range of eligible child care settings and must provide families with equal access to child care that is comparable to that of non-CCDF families. Lead Agencies must employ strategies to increase the supply and to improve the quality of child care services, especially in underserved areas. This section addresses strategies that the Lead Agency uses to promote parental choice, ensure equal access, and increase the supply of child care. Note: In responding to questions in this section, the Office of Child Care (OCC) recognizes that each State/Territory identifies and defines its own categories and types of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories and types of care. For these questions, provide responses that closely match the CCDF categories of care.

4.1 Parental Choice in Relation to Certificates, Grants, or Contracts

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either receiving a child care certificate or, if available, enrolling his or her child with a provider that has a grant or contract for providing child care services (658E(c)(2)(A); 98.30(a)). Even if a parent chooses to enroll his or her child with a provider who has a grant or contract, the parent will select the provider, to the extent practicable. If a parent chooses to use a certificate, the Lead Agency shall provide information to the parent on the range of provider options, including care by sectarian providers and relatives. Lead Agencies must require providers chosen by families to meet health and safety standards and has the option to require higher standards of quality. Lead agencies are reminded that any policies and procedures should not restrict parental access to any type of care or provider (e.g. center care, home care, in-home care, for-profit provider, non-profit provider or faith-based provider, etc.) (98.15 (a)(5)).

4.1.1 Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate (98.16 (q)).

An automatic approval notice is issued to the parent the business day after benefits are approved. It includes the certification period, copayment amount, authorized child care hours, income and household size. Vouchers are issued directly to the child care provider on the 4th business day before the beginning of the month covered on the certificate. The voucher includes the parent and child names, child age category, authorized hours, copay, as well as provider name and type.

Effective Date: 10/01/2018

4.1.2 Describe how the parent is informed that the child certificate allows the option to choose from a variety of child care categories, such as private, not-for-profit, faith-based providers; centers; FCC homes; or in-home providers (658E(c)(2)(A)(i); 658P(2); 658Q). Check all that apply.

Effective Date: 10/01/2018

- Certificate that provides information about the choice of providers
- Certificate that provides information about the quality of providers
- Certificate not linked to a specific provider, so parents can choose any provider
- Consumer education materials on choosing child care
- Referral to child care resource and referral agencies
- Co-located resource and referral in eligibility offices
- Verbal communication at the time of the application
- Community outreach, workshops, or other in-person activities
- Other.

Describe:

4.1.3 Child care services available through grants or contracts.

Effective Date: 04/01/2020

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots (658A(b)(1))? Note: Do not check 'yes' if every provider is simply required to sign an agreement to be paid in the certificate program.

No. If no, skip to 4.1.4.

Yes, in some jurisdictions but not statewide.

If yes, describe how many jurisdictions use grants or contracts for child care slots.

Yes, statewide. If yes, describe:

i. How the Lead Agency ensures that parents who enroll with a provider who has a grant or contract have choices when selecting a provider:

Parents are advised at the time of application about options in selecting a child care provider. This information is offered through verbal and electronic communication from the Department of Human Services and from 211info child care referrals.

ii. The type(s) of child care services available through grants or contracts:

- Full-day, full-year child care services with Spark (Oregon's QRIS) star-rated Head Start programs with existing contracts.
- Full-day, full-year child care services with Spark star-rated Early Head Start programs with existing contracts.
- Full-day, full-year child care services with licensed, Spark star-rated child care facilities participating in the Early Head Start Child Care Partnership grant are eligible for contracts. Head Start grantees are not eligible for these contracts.
- Full-day child care services for teen parent programs as part of the high school completion efforts.
- Full-day, full-year child care services offered through programs participating in Baby Promise.

iii. The entities that receive contracts (e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers):

- QRIS Spark-rated Head Start and Early Head Start programs who offer full day, full year child care services.
- Licensed child care programs participating in the Early Head Start Child Care Partnership grant as a non-Head Start Grantee child care partner and meet criteria for contracted slots, are eligible for contracts.
- Teen Parent programs that are part of the statewide public education system.
- Child care providers participating in the Baby Promise program.

[iv. The process for accessing grants or contracts:](#)

For contracts with the Department of Human Services, parent/caretakers who work 25 hours per week or more, have at least one child between the ages of birth to six, meet ERDC eligibility, and have work hours similar to the contracted provider's business hours can be reviewed for a contracted slot. Teen parents accessing contracted Teen Parent child care in parents must meet specialty program requirements and income eligibility. Teen parents must be participating in the Teen Parent program in the high school. For Baby Promise, families must live in the pilot counties, meet work and/or educational requirements, have a child between 6 weeks to 3 years of age who is a citizen or has legal status, and meet income eligibility requirements.

[v. How rates for contracted slots are set through grants and contracts:](#)

Contracted payment rates for all contracts are based on the type of care offered and the geographic region of the state (Areas A, B and C). For Baby Promise, payment rates are individually determined based on a cost per child analysis.

[vi. How the Lead Agency determines which entities to contract with for increasing supply and/or improving quality:](#)

Oregon entered into contracts with a variety of entities over the years to meet specific child care needs in order to increase the supply of child care to vulnerable populations and to ensure higher quality environments. Future contracts are subject to funding availability and to a competitive procurement process. To maintain current contract status the state requires: For Head Start and Early Head Start full-day full-year programs, the program must be QRIS Spark star rated. Teen parent programs must be licensed and

associated directly with a teen parent public high school completion program. To be eligible for a new contract under the Early Head Start Child Care Partnership the facility must be a non-Head Start Grantee, licensed family or center child care program, QRIS Spark star rated and actively participating in the partnership. To be eligible for Baby Promise, providers must be willing to participate or currently participating in Spark and working towards attaining a 4 or 5 star Spark rating.

vii. If contracts are offered statewide and/or locally:

Contracts are offered statewide for Head Start and Early Head Start. For Baby Promise, contracts are offered in the 3 pilot regions.

4.1.3 Child care services available through grants or contracts.

b) Will the Lead Agency use grants or contracts for child care services to increase the supply and/or quality of specific types of care? Check all that apply.

- Programs to serve children with disabilities
 - Programs to serve infants and toddlers
 - Programs to serve school-age children
 - Programs to serve children needing non-traditional hour care
 - Programs to serve children experiencing homelessness
 - Programs to serve children in underserved areas
 - Programs that serve children with diverse linguistic or cultural backgrounds
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other
- Describe

4.1.3 Child care services available through grants or contracts.

c) Will the Lead Agency use grants or contracts for child care services to increase the quality of specific types of care? Check all that apply.

- Programs to serve children with disabilities
 - Programs to serve infants and toddlers
 - Programs to serve school-age children
 - Programs to serve children needing non-traditional hour care
 - Programs to serve homeless children
 - Programs to serve children in underserved areas
 - Programs that serve children with diverse linguistic or cultural backgrounds
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other
- Describe

4.1.4 Certify by describing the Lead Agency's procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds (658E(c)(2)(B); 98.16(t)).

The Department of Human Services requires CCDF subsidy providers to allow the custodial parent of a child in his or her care to have immediate access to the child(ren) at all times per OAR 416-165-0180(8)(I).

Effective Date: 10/01/2018

4.1.5 The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use (98.16(i)(2)). Will the Lead Agency limit the use of in-home care in any way?

Effective Date: 10/01/2018

No.

Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.

Restricted based on minimum the number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements.

Describe:

Restricted based on the provider meeting a minimum age requirement. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2).

Describe:

Provider must be at least 18 years of age.

Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours).

Describe:

Restricted to care by relatives.

Describe:

Restricted to care for children with special needs or a medical condition.

Describe:

Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF.

Describe:

Other.

Describe:

4.2 Assessing Market Rates and Child Care Costs

Lead Agencies have the option to conduct a statistically valid and reliable (1) market rate survey (MRS) reflecting variations in the price to parents of child care services by geographic area, type of provider, and age of child and/or (2) an alternative methodology, such as a cost estimation model (658E(c)(4)(B)). A cost estimation model estimates the cost of care by incorporating both data and assumptions to model what expected costs would be incurred by child care providers and parents under different cost scenarios. Another approach would be a cost study that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services. The MRS or alternative methodology must be developed and conducted no earlier than 2 years before the date of submission of the Plan.

Note - Any Lead Agency considering using an alternative methodology, instead of a market rate survey, is required to submit a description of its proposed approach to its ACF Regional Child Care Program Office for pre-approval in advance of the Plan submittal (see <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-08>). Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology. In its request for ACF pre-approval, a Lead Agency must:

- Provide an overview of the Lead Agency's proposed approach (e.g., cost estimation model, cost study/survey, etc.), including a description of data sources.
- Describe how the Lead Agency will consult with the State's Early Childhood Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, organizations representing child care caregivers, teachers and directors, and other appropriate entities prior to conducting the identified alternative methodology.
- Describe how the alternative methodology will use methods that are statistically valid and reliable and will yield accurate results. For example, if using a survey, describe how the Lead Agency will ensure a representative sample and promote an adequate response rate. If using a cost estimation model, describe how the Lead Agency will validate the assumptions in the model.
- If the proposed alternative methodology includes an analysis of costs (e.g., cost estimation model or cost study/survey), describe how the alternative methodology will account for key factors that impact the cost of providing care such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, licensing requirements, quality level, facility size, and other factors.

- Describe how the alternative methodology will provide complete information that captures the universe of providers in the child care market.
- Describe how the alternative methodology will reflect variations by provider type, age of children, geographic location and quality.
- Describe how the alternative methodology will use current, up to date data.
- Describe the estimated reporting burden and cost to conduct the approach.

4.2.1 Please identify the methodology(ies) used below to assess child care prices and/or costs.

Effective Date: 10/01/2018

- MRS
- Alternative methodology.

Describe:

- Both.

Describe:

4.2.2 Prior to developing and conducting the MRS or alternative methodology, the Lead Agency is required to consult with the (1) State Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities and (2) organizations representing caregivers, teachers, and directors (98.45 (e)).

Describe how the Lead Agency consulted with the:

Effective Date: 10/01/2018

a) State Advisory Council or similar coordinating body:

The chairperson of the Child Care and Education Committee of the Early Learning Council is a convener of the Oregon Research Partnership and represented the

Early Learning Council in consultation on methodology of the Market Price Study.

b) Local child care program administrators:

Child care program administrators were included on the Market Price Study advisory committee.

c) Local child care resource and referral agencies:

Child care resource and referral programs are instrumental in developing the protocol for data collection and collecting data for the Market Price Study.

d) Organizations representing caregivers, teachers, and directors:

The child care provider union for licensed family child care - the American Federation of State, Municipal and County Employees - were consulted on data collection methodology.

e) Other. Describe:

Members of the Oregon Child Care Research Partnership group, represented by researchers and staff from multiple agencies, and other early learning stakeholders, were consulted on methodology.

4.2.3 Describe how the market rate survey is statistically valid and reliable. To be considered valid and reliable, the MRS must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variations, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data, such as child care resource and referral data, if they are representative of the market. If an alternative methodology, such as cost modeling, is used, demonstrate that the methodology used reliable methods.

The 2018 Oregon Child Care Market Price Study is the most recent study and was determined to be valid and reliable based on the completeness of the data, geographic representativeness, response rate and currency of the data. The data source is the child care resource and referral statewide database and includes an aggregate of 13 local child care resource and referral data representing all counties in Oregon. The

study includes all child care facilities in the priced child care market. Price data was complete for 86 percent of facilities in the database. The 14 percent not represented included facilities that typically do not charge parents (i.e. Head Start), have complex rates, or choose to discuss rates directly with parents. Price data was collected from all 36 Oregon counties.

Effective Date: 10/01/2018

4.2.4 Describe how the market rate survey or alternative methodology reflects variations in the price or cost of child care services by:

Effective Date: 0

a) Geographic area (e.g., statewide or local markets). Describe:

The geographic price analysis identified three geographic market area boundaries that are generally similar to those identified in the previous market rate studies. There are indications that Certified Center and Certified Family providers are beginning to create a small fourth subsection specifically located in western Multnomah County.

b) Type of provider. Describe:

Current rates are collected for all types of licensed child care providers.

c) Age of child. Describe:

Rates were collected for Infants (0-2), toddlers (2-3), preschool (3-6), school-aged school year (6-12 or 17 with verification of special needs), school aged summer only programs.

d) Describe any other key variations examined by the market rate survey or alternative methodology, such as quality level.

N/A

4.2.5 After conducting the market rate survey or alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or alternative methodology. The detailed report must also include the estimated cost of care (including any relevant variation by geographic location, category of provider, or age of child) necessary to support (1) child care providers' implementation of the health, safety, quality, and staffing requirements and (2) higher quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality. For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, pre-K standards, Head Start performance standards, or State defined quality measures.)

Effective Date: 10/01/2018

Describe how the Lead Agency made the results of the market rate survey or alternative methodology report widely available to the public (98.45(f)(1)). by responding to the questions below.

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2016, and no later than July 1, 2018). 04/11/2018

b) Date the report containing results was made widely available - no later than 30 days after the completion of the report. 04/20/2018

c) Describe how the Lead Agency made the detailed report containing results widely available and provide the link where the report is posted.

An electronic version of the completed Market Price Study is emailed to key stakeholders and partners. Hard copies are available on request.

<https://www.oregon.gov/DHS/ASSISTANCE/CHILD-CARE/Documents/CCMR%202018%20Report.pdf>

d) Describe how the Lead Agency considered stakeholder views and comments in the detailed report.

The Market Price Study Advisory Committee provided feedback on the report. An electronic version of the completed publication was emailed to stakeholders of the Early Learning Partner Forum with a presentation on April 5, 2018. The draft publication was posted to the Oregon State University, Family Policy Center, Data

and Publications website in March 2018. Stakeholder views and comments on readability, comprehension and methodology were provided to the study authors for consideration in the final publication.

4.3 Setting Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or alternative methodology, at a level to ensure equal access for eligible families to child care services that are comparable with those provided to families not receiving CCDF funds. The Lead Agency must re-evaluate its payment rates at least every 3 years.

4.3.1 Provide the base payment rates and percentiles (based on the most recent MRS) for the following categories below. Percentiles are not required if the Lead Agency conducted an alternative methodology only (with pre-approval from ACF), but must be reported if the Lead Agency conducted an MRS alone or in combination with an alternative methodology. The ages and types of care listed below are meant to provide a snapshot of the categories on which rates can be based and are not intended to be comprehensive of all categories that might exist or to reflect the terms used by the Lead Agency for particular ages. Please use the most populous geographic region (area serving highest number of CCDF children) to report base payment rates below, if they are not statewide. Note: If the Lead Agency obtained approval to conduct an alternative methodology, then reporting of percentiles is not required.

Effective Date: 01/01/2019

a) Infant (6 months), full-time licensed center care in the most populous geographic region

Rate \$ 1415.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 66th

b) Infant (6 months), full-time licensed FCC home in the most populous geographic region

Rate \$ 1254.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 75th

c) Toddler (18 months), full-time licensed center care in the most populous geographic region

Rate \$ 1415.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 66th

d) Toddler (18 months), full-time licensed FCC care in the most populous geographic region

Rate \$ 1254.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 75th

e) Preschooler (4 years), full-time licensed center care in the most populous geographic region

Rate \$ 1060.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 68th

f) Preschooler (4 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 1000.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 75th

g) School-age child (6 years), full-time licensed center care in most populous geographic region

Rate \$ 855.00 per monthly unit of time (e.g., daily, weekly, monthly, etc.)

Percentile of most recent MRS: 90th

h) School-age child (6 years), full-time licensed FCC care in the most populous geographic region

Rate \$ 750.00 per monthly unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 75th

i) Describe how part-time and full-time care were defined and calculated.

Part-time care for a licensed care provider is defined as 63 to 135 hours of care provided in a single month. Full-time care for a licensed child care provider is defined as at least 136 hours of care provided in a single month.

j) Provide the effective date of the current payment rates (i.e., date of last update based on most recent MRS). 01/01/2019

k) Identify the most populous area of the state used to complete the responses above.

Multnomah County

l) Provide the citation or link, if available, to the payment rates.

<http://www.oregon.gov/dhs/assistance/CHILD-CARE/Pages/rates.aspx>

m) If the payment rates are not set by the Lead Agency for the entire state/territory, describe how many jurisdictions set their own payment rates (98.16(i)(3)).

N/A

4.3.2 Lead Agencies can choose to establish tiered rates, differential rates, or add-ons on top of their base rates as a way to increase payment rates for targeted needs (i.e., a higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

Check and describe the types of tiered reimbursement or differential rates, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS and/or an alternative methodology, and the amount of the rate. Check all that apply.

Effective Date: 04/01/2019

Differential rate for *non-traditional hours*.

Describe:

Child care providers are able to request incentive payments for ERDC children in care during non-traditional hours. Non-traditional hours are defined as before 6am, after 7pm or Saturday or Sunday hours. Providers can receive a \$250 incentive per month for each child in non-traditional hour care for 20-39 hours per month and \$500 for each child in care 40 or more hours per month. The incentives are paid monthly for care provided January 2019 through September 2019 as part of a pilot to demonstrate the need for

alternative hour care in Oregon. The pilot started April 1, 2019, paying providers retroactively for non-traditional hour care provided January through March 2019.

- Differential rate for *children with special needs*, as defined by the state/territory.

Describe:

Children with special needs may be evaluated for the high needs supplemental payments through the Inclusive Child Care Program. This can be up to an additional \$5.00 per hour.

- Differential rate for *infants and toddlers*. Note: Do not check if the Lead Agency has a different base rate for infants/toddlers with no separate bonus or add-on.

Describe:

- Differential rate for *school-age programs*. Note: Do not check if the Lead Agency has a different base rate for school-age children with no separate bonus or add-on.

Describe:

- Differential rate for higher quality, as defined by the state/territory.

Describe:

An additional incentive payment was implemented in April 2016 for high quality providers, rated at a three, four, or five- star on Spark, the Oregon Quality Rating and Improvement System, who care for children of families receiving a subsidy. Incentive payment is for full time child care.

- Other differential rates or tiered rates.

Describe:

- Tiered or differential rates are not implemented.

4.4 Summary of Facts Used To Determine That Payment Rates Are Sufficient To Ensure Equal Access

4.4.1 Lead Agencies must certify that CCDF payment rates are sufficient to ensure equal access for eligible families to child care services comparable to those provided by families not receiving CCDF assistance (98.16(a)). Certify that payment rates reported in 4.3.1 are sufficient to ensure equal access by providing the following summary of facts (98.45(b)):

Effective Date: 01/01/2019

a) Describe how a choice of the full range of providers eligible to receive CCDF is made available; the extent to which eligible child care providers participate in the CCDF system; and any barriers to participation, including barriers related to payment rates and practices.

Oregon's rates were revised on January 1, 2019. Based on the 2018 Oregon Child Care Market Price Study the monthly payment rates for all licensed providers are currently set between the 66th and the 90th percentile. The rates are adequate to cover a majority of licensed facilities so families have choices available to them. Approximately 45% of eligible licensed child care facilities participate in the CCDF system. One of the barriers related to participation is the payment following the provision of child care services rather than in advance.

b) Describe how payment rates are adequate and have been established based on the most recent MRS or alternative methodology . Note: Per the preamble (81 FR 67512), in instances where a MRS or alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result.

Payment rates are adequate. Monthly rates for licensed family homes are set at the 75th percentile of the 2018 Oregon Child Care Market Price Study as of January 1, 2019. Most certified center rates are set between the 63rd and 71st percentiles with a few monthly rates that exceed the 90th percentile. Rates in the lowest paid, rural areas (area C) were increased to be equal to the higher paid rate area B to allow for greater access in areas with a lack of available child care.

c) Describe how base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF.

Base payment rates are adequate to cover requirements for the majority of the child care slots available in the state. Of the 36 rates (four age categories x three licensed provider types x three rate areas) 30 monthly rates are set at or above the 75th percentile. The other 6 monthly rates fall between the 63rd and 70th percentiles of the 2018 Market Price Study. The Spark quality incentive payments puts the last 6 rates above the 75th percentile when the provider bills for full time care.

d) Describe how the Lead Agency took the cost of higher quality into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality. Note: For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, Pre-K standards, Head Start performance standards, or State defined quality measures).

The Provider Cost of Quality Calculator informs the Lead Agency on the cost of providing Spark (Oregon's QRIS) rated care. Incentive payments for Spark rated providers were incorporated into the current payment structure in 2016 to reflect the higher cost of quality. The incentive increases with each star rating. The incentive payments are limited based on available budget and do not fully cover the cost of higher quality care. They are intended to be a supplemental payment to assist with costs for higher quality.

e) How will the Lead Agency ensure that the family contribution/co-payment, based on a sliding-fee scale, is affordable and is not a barrier to families receiving CCDF funds (98.16 (k))? Check all that apply.

Limit the maximum co-payment per family.

Describe: .

Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage of the co-payment limit and

Minimize the abrupt termination of assistance before a family can afford the full cost of care ('the cliff effect') as part of the graduated phase-out of assistance discussed in 3.1.7.

Other.

Describe:

The copayment is determined by calculating a percentage of the family's income at initial certification and recertification only. During the 12 month certification period the copay will not increase even if the clients wage increases. The copayment scale is designed to allow the copayment to eventually increase from 2-3% of the gross income for the lowest income families up to be equal to the family's cost of care. When the copayment equals the cost of care the family does not experience a benefit cliff when exiting the program.

f) To support parental choice and equal access to the full range of child care options, does the Lead Agency choose the option to allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment (98.45(b)(5))?

No

Yes. If yes:

i. Provide the rationale for the Lead Agency's policy to allow providers to charge families additional amounts above the required co-payment, including a demonstration of how the policy promotes affordability and access for families.

The majority of Oregon's rates are set at or above the 75th percentile. Oregon does not get involved in the rate structure child care businesses choose and allows providers to charge and collect payment from parents above the subsidy rate. Oregon discovered allowing providers to charge full rates opened up more options for families accessing subsidies. Oregon's current child care subsidy rates provide access for families to a full range of provider choices. The policy to allow charges above the co-payment may not promote affordability for all families, but can help stabilize the supply of child care.

ii. Provide data (including data on the size and frequency of such amounts) on the extent to which CCDF providers charge additional amounts to families.

In May 2018, 27.8% of providers had at least one rate higher than the Department of Human Services reimbursement rates. 1166 of 4194 providers charged an average of \$127.18 higher than the Department of Human Services child care rate for at least one child in care. The snapshot of May data is representative of the extent to which providers serving CCDF families charge additional amounts.

iii. Describe the Lead Agency's analysis of the interaction between the additional amounts charged to families with the required family co-payment, and the ability of current subsidy payment rates to provide access to care without additional fees.

Data collected does not provide an opportunity to properly analyze the interaction between the additional amounts charged to families. Some subsidy providers charge a higher rate, but do not fill in the rates on the Department of Human Services billing vouchers. The billing voucher asks providers to list rates but not all providers comply. The Department of Human Services does not know how many providers actually collect the overage from families. Many provider with rates above the reimbursement rates, have an agreement with the parents to only collect the amount the Department of Human Services will pay plus the copayment and do not require parents to pay the difference between the provider rate and the reimbursement. Oregon will continue to gather additional data in order to analyze the difference in payment rates and the additional amounts charged to families.

g) Describe how Lead Agencies' payment practices described in 4.5 support equal access to a range of providers.

The Department of Human Services makes payments typically within three to five days following receipt of the child care billing form. Providers may bill for absent days if their practice is to charge all parents for absences. Child care providers can depend on timely payments from the state so are willing to serve families receiving CCDF. The state's policy of paying for absences is consistent with generally accepted payment practices. Providers are willing to serve CCDF families since they can rely on payment even when a child is absent.

h) Describe how and on what factors the Lead Agency differentiates payment rates.

Check all that apply.

Geographic area.

Describe:

Oregon has three different rate areas based on clustering of payment rates into rate area A (larger metropolitan and areas surrounding large state universities), rate area B (smaller metropolitan areas) and rate area C (rural).

Type of provider.

Describe:

Rates are collected for licensed child care providers including small home based (Registered Family), large home based (Certified Family) and centers (Certified Centers).

Age of child.

Describe:

Rates are differentiated for licensed care age categories and include infant (0-24), toddler (2-3), preschool (3-6) and school-aged (6-13 or under 18 with additional requirements)

Quality level.

Describe:

Incentive payments are available for Spark rated (Oregon's QRIS) licensed care.

Other.

Describe:

i) Describe any additional facts that the Lead Agency considered in determining its payment rates to ensure equal access. Check all that apply and describe:

Payment rates are set at the 75th percentile benchmark or higher of the most recent MRS.

Describe:

- Based on the approved alternative methodology, payments rates ensure equal access.

Describe:

- Feedback from parents, including parent surveys or parental complaints.

Describe:

- Other.

Describe:

Spark incentive payments allow additional access when the providers' rate falls below the base Department of Human Services payment rates.

4.5 Payment Practices and the Timeliness of Payments

Lead Agencies are required to demonstrate that they have established payment practices applicable to all CCDF child care providers that include ensuring the timeliness of payments by either (1) paying prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent practicable, the Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for 5 or fewer days in a month, or (4) using an alternative approach for which the Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

Lead Agencies are required to use CCDF payment practices that reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF-funded assistance. Unless a Lead Agency is able to demonstrate that the following policies are not generally accepted in its particular state, territory, or service area or among particular categories or types of providers, Lead Agencies must (1) pay providers based on established part-time or full-time rates rather than paying for hours of service or smaller increments of time and (2) pay for reasonable, mandatory registration fees that the provider charges to private-paying parents (658E(c)(2)(S); 98.45(l)(3)).

In addition, there are certain other generally accepted payment practices that are required. Lead Agencies are required to ensure that child care providers receive payment for any services in accordance with a payment agreement or an authorization for services, ensure that child care providers receive prompt notice of changes to a family's eligibility status that could impact payment, and establish timely appeal and resolution processes for any payment inaccuracies and disputes (98.45(l)(4) through (6); 658E(c)(2)(S)(ii); 98.45(l)(4); 98.45(l)(5); 98.45(l)(6)).

4.5.1 Certify by identifying and describing the payment practices below that the Lead Agency has implemented for all CCDF child care providers.

Effective Date: 04/01/2020

a) Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

Paying prospectively prior to the delivery of services.

Describe the policy or procedure.

Certified child care centers are eligible to bill for anticipated hours of care at the beginning of the month. Centers can submit their billing once the child has attended at least one day at the center for the month. Centers are not charged with an overpayment if the child did not attend the anticipated hours, those hours are to be identified as absent days. Certified centers have an increased number of allowable absent days. Centers can charge up to 30 absent days in a month as long as the child has attended at least one day and the child was anticipated to be at the site. Baby Promise will provide pre-payments for contracted slots on a monthly basis for eligible Baby Promise children.

Paying within no more than 21 calendar days of the receipt of a complete invoice for services.

Describe the policy or procedure.

Payments are made within three to five business days of receipt of billing for services for ERDC. Special Populations contractors are paid within 21 days of billing.

b) To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: (Note: The Lead Agency is to choose at least one of the following):

Paying based on a child's enrollment rather than attendance.

Describe the policy or procedure.

N/A

Providing full payment if a child attends at least 85 percent of the authorized time.

Describe the policy or procedure.

N/A

Providing full payment if a child is absent for five or fewer days in a month.

Describe the policy or procedure.

Certified centers are allowed to claim up to 30 absent days per month if a child attended one day in the month and they were anticipated to attend during the month. For all other providers they may bill for absent days. The Department of Human Services can pay for up to five days when a child is absent from care and the child was scheduled to be in care, and it is the provider's policy to bill for absent days and the absent time is indicated on the child's attendance log. Department of Human Services will not pay for more than five consecutive days of scheduled care for which the child is absent.

In the event of a State declared emergency, for all provider types the ERDC program will increase the number of allowable absent days to include the entire month with no requirement for the child to have attended at least one day. This practice will end within 90 days after the suspension of the declared emergency.

Use an alternative approach for which the Lead Agency provides a justification in its Plan.

If chosen, please describe the policy or procedure and the Lead Agency's justification for this approach.

N/A

c) The Lead Agency's payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. These

payment practices must include the following two practices unless the Lead Agency provides evidence that such practices are not generally accepted in its state (658E(c)(2)(S); 98.45(l)(3)).

i. Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time).

Describe the policy or procedure and include a definition of the time increments (e.g., part time, full-time).

The part-time monthly rate applies if the provider has an established part-time monthly rate and the children are in care between 63 and 135 hours per month and the provider is designated as the primary provider for the family case. The part-time monthly rate is 75% of the full time monthly rate. The ERDC program has no minimum requirement for work hours. Paying the part-time monthly rate to providers who could be caring for children as little as 1 hour in a month is not an appropriate payment rate. The Oregon Child Care Market Price Study has shown the hourly rate as the primary mode of billing for most Registered Family Child Care Home providers since 2010 making it a generally accepted payment practice. Many families have more than one provider. Providing hourly payments enable families' better access to needed child care especially during non-traditional work hours and weekends. For these providers, the hourly rate applies when children are in care less than 63 hours per month. The full-time monthly rate applies when children are in care 136 hours or more per month and when the provider is designated as the primary provider for the family case. Contracted slots are paid at the full-time monthly rate.

ii. Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.

Describe the policy or procedure.

In April 2019 Oregon started covering registration fees for all licensed provider types, both center and home-based. Registration fees cover fees required for the child to enroll or continue enrollment in a facility. They must be fees that are also charged to private pay families. Any fees over \$150 per child must be staffed with DHS Child Care Policy. There is no limit to the number of registration fees that can be covered per child per year. Fees intended to hold a slot for future use, penalty fees (like late pick up fees) and deposits for payment

of future care cannot be covered. Fees can be covered through the TANF Child Care program for families who are transitioning onto the CCDF subsidy program.

d) The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute-resolution process. Describe:

All providers receive a copy of Department of Human Services 2492 Child Care Provider Guide which includes information on payment rates and processes, information on how to correct or dispute a payment amount, overpayment collections, payment timeframes and the union dues deductions for union members.

e) The Lead Agency provides prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Lead Agency becomes aware that such a change will occur.

Describe:

The Department of Human Services mails a notice to the provider at the time information is verified for changes to a family or provider eligibility

f) The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes. Describe:

Providers are given 90 days before a voucher is considered expired and no longer valid for payment for ERDC. When a provider has a good cause for not submitting a billing form the Department of Human Services Direct Pay Unit will cancel and reissue the voucher for payment. The Direct Pay Unit works with providers, parents and the Department of Human Services staff to resolve payment inaccuracies or disputes as quickly as possible. Payment adjustments are processed and issued within 24 hours to 4 business days of the request. Most adjustments are processed and issued within 24 hours. If a determination cannot be reached, the Direct Pay Unit and providers can contact the Department of Human Services Child Care Policy Unit as another avenue to review the situation. When a family child care provider disagrees with the outcome of a payment dispute a grievance can be filed with the union representing the provider.

g) Other. Describe:

N/A

4.5.2 Do payment practices vary across regions, counties, and/or geographic areas?

Effective Date: 10/01/2018

No, the practices do not vary across areas.

Yes, the practices vary across areas.

Describe:

4.6 Supply-Building Strategies to Meet the Needs of Certain Populations

Lead Agencies are required to develop and implement strategies to increase the supply of and to improve the quality of child care services for children in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours (658 E(c)(2)(M); 98.16 (x)).

4.6.1 Lead Agencies must identify shortages in the supply of high-quality child care providers. List the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice.

Effective Date: 10/01/2018

In licensed family child care.

Oregon tracks the supply of child care through the NACCRRWare database. NACCRRWare data includes fields for designating Spark (Oregon's QRIS) and other high-quality indicators such as accreditation with national organizations such as the National Association for the Education of Young Children and The National Association for Family Child Care. The child care resource and referral system uses the data to identify shortages and conduct outreach to providers. NACCRRWare data is analyzed in combination with the child care subsidy data to

identify areas where there are child care supply shortages for families accessing CCDF. The programs work to recruit new providers, guide them through the licensing process and provide technical assistance for Spark. Programs submit quarterly reports on progress towards goals working with priority populations, and strategies to support increased quality for licensed and license exempt CCDF providers.

In licensed child care centers.

Oregon tracks the supply of child care through the NACCRRARWare database. NACCRRARWare data includes fields for designating Spark (Oregon's QRIS) and other high-quality indicators such as accreditation with national organizations such as the National Association for the Education of Young Children. The child care resource and referral system uses the data to identify shortages and conduct outreach to providers. NACCRRARWare data is analyzed in combination with the child care subsidy data to identify areas where there are child care supply shortages for families accessing CCDF. The programs work to recruit new providers, guide them through the licensing process and provide technical assistance for Spark. Programs submit quarterly reports on progress towards goals working with priority populations, and strategies to support increased quality for licensed and license exempt CCDF providers.

Other.

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

Effective Date: 04/01/2020

a) Children in underserved areas. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Baby Promise is a contracted slots program designed to serve low-income families in communities struggling to find and keep high quality care for

infants and toddlers. Each of the 3 pilot regions selected in Baby Promise are child care deserts with 8 infants and toddlers for every child care slot.

[Family child care networks.](#)

Describe:

Focused Family Child Care Networks are cohorts of practitioners with a focus on supported quality improvement. The child care networks serve children in underserved areas as well as special populations. Oregon has a number of Spanish speaking networks, an African-American network and a number of networks in more rural areas. The networks' use the Spark framework (Oregon's QRIS), to support continuous quality improvement.

[Start-up funding.](#)

Describe:

[Technical assistance support.](#)

Describe:

The child care resource and referral programs:

- Support providers in obtaining a Spark rating by mapping out professional development plans and providing training and technical assistance.
- Hold conferences specific to populations speaking languages other than English to improve child care quality.
- Provide trauma informed care training to providers.
- Provide technical assistance to providers serving infants and toddlers with specialized support provided by the Infant and Toddler Specialists.

[Recruitment of providers.](#)

Describe:

The child care resource and referral system actively recruits providers in rural and underserved areas for families accessing CCDF subsidy and contracted slots. Family child care providers receive information on the Department of Human Services ERDC program at all Registered Family Child Care overviews.

Tiered payment rates (as discussed in 4.3.2).

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

b) Infants and toddlers. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Baby Promise is a contracted slots program designed to serve low-income families in communities struggling to find and keep high quality care for infants and toddlers.

Family child care networks.

Describe:

Start-up funding.

Describe:

Technical assistance support.

Describe:

The child care resource and referral programs offer training specific to the care of infants and toddlers. They also offer infant/toddler training and technical assistance cohorts for providers to receive targeted supports. Some programs have worked with local community colleges to offer credit classes on infant development.

Recruitment of providers.

Describe:

Evidence from the most recent Market Price Study verified Oregon has a shortage of infant care across the state. Child care resource and referral programs continually inform providers on the demand for infant care at family child care orientations, overviews and training.

Tiered payment rates (as discussed in 4.3.2) .

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

Specialized infant/toddler specialists for local child care resource and referral programs. Supporting local schools to develop infant/toddler programs for teen parents.

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

c) Children with disabilities. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

Technical assistance support.

Describe:

Recruitment of providers.

Describe:

Tiered payment rates (as discussed in 4.3.2).

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Child Care Resource and Referral of Multnomah County partners with Multnomah County government to offer consultation for child mental health situations in child care facilities.

Oregon funds the Inclusive Partners program through the Department of Human Services. Staff offer technical assistance to child care providers, train child care resource and referral staff members on principles of inclusive child care, and support inclusive community placements. Inclusive Partners work with parents to assess the best child care environment for children with special needs.

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

d) Children who receive care during non-traditional hours. Check and describe all that apply

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

- Technical assistance support.

Describe:

- Recruitment of providers.

Describe:

The child care resource and referral system partners are continually providing outreach to providers on the need for child care during non traditional hours.They attend Job Fairs and resource fairs. They attend parent events, talk about family child care business opportunities and the need for care during non-traditional hours.

- Tiered payment rates (as discussed in 4.3.2) .

Describe:

- Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

- Accreditation supports.

Describe:

- Child Care Health Consultation.

Describe:

- Mental Health Consultation.

Describe:

- Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the

following.

e) Other. Check and describe all that apply:

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

N/A

Technical assistance support.

Describe:

Recruitment of providers.

Describe:

Tiered payment rates (as discussed in 4.3.2).

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

N/A

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

The local child care resource and referral programs work in partnership with the Early Learning Hubs to support providers who serve children who exhibit behavioral issues. They offer technical assistance and referrals to appropriate screening entities. The child care resource and referral programs also work in partnership with local government to improve start-up business challenges for child care facilities.

4.6.3 Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs.

Effective Date: 10/01/2018

a) How does the Lead Agency define areas with significant concentrations of poverty and unemployment?

For subsidy purposes the Lead Agency has been directed by the state legislature to consider any family at or below 250% of the Federal Poverty Limit as low-income. In planning for statewide services, the Early Learning Division provides statistical information on the percent of free and reduced lunch in each school catchment area to the Early Learning Hubs as a baseline for program development. Each Early Learning Hub is required to consider available data to identify high pockets of poverty and unemployment when designing and supporting early learning services. State investments prioritize funding to areas with significant concentrations of poverty.

b) Describe how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have high-quality programs

The Early Learning Division requires contractors to prioritize resources towards children and providers serving children furthest from opportunity, including children experiencing poverty and geographic diversity. In addition, there are specific initiatives targeting providers who serve children in areas of significant concentrations of poverty. The Focused Family Child Care Networks are designed to target providers in areas with low supply of high quality programs and families experiencing poverty. Spark rated programs receive additional subsidy incentive payments to help create access to high quality programs for families experiencing poverty. Spark revisions will include prioritizing supports towards providers serving children experiencing poverty (and other indicators). Additionally, the lead agency has multiple initiatives providing early educators who are serving geographically specific areas with professional development opportunities as a strategy to increase quality of care, such as multilingual college and training paths.

5 Establish Standards and Monitoring Processes To Ensure the Health and Safety of Child Care Settings

Lead Agencies are required to certify that there are in effect licensing requirements applicable to all child care services in the state/territory, which supports the health and safety of all children in child care. States and territories may allow licensing exemptions. Lead Agencies must describe how such licensing exemptions do not endanger the health, safety, and development of CCDF children in license-exempt care (98.16 (u)).

Lead Agencies also must certify that there are in effect health and safety standards and training requirements applicable to providers serving CCDF children, whether they are licensed or license-exempt. These health and safety requirements must be appropriate to the provider setting and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures.

The organization of this section begins with a description of the licensing system for providers of child care in a state or territory and then moves to focus in on CCDF providers who may be licensed, exempt from licensing, or relative providers. The section then covers the health and

safety requirements and training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Lead Agencies are also asked to describe any exemptions for relative providers (98.16(l)). This section also addresses group size limits; child-staff ratios; and required qualifications for caregivers, teachers, and directors (98.16(m)) serving CCDF children.

Note: When responding to questions in this section, the OCC recognizes that each State/Territory identifies and defines its own categories of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care.

Criminal background check requirements are included in this section (98.16(o)). It is important to note that these requirements are in effect for all child care staff members that are licensed, regulated or registered under state/territory law and all other providers eligible to deliver CCDF services.

5.1 Licensing Requirements

Each state/territory must certify it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds) and provide a detailed description of these requirements and how the requirements are effectively enforced (658E(c)(2)(F)). If any types of providers are exempt from licensing requirements, the state/territory must describe those exemptions and describe how these exemptions do not endanger the health, safety, or development of children. The descriptions must also include any exemptions based on provider category, type, or setting; length of day; and providers not subject to licensing because the number of children served falls below a Lead Agency-defined threshold and any other exemption to licensing requirements (658E(c)(2)(F); 98.16(u); 98.40(a)(2)(iv)).

5.1.1 To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below? Check all that apply and provide a citation to the licensing rule.

Effective Date: 10/01/2018

Center-based child care.

Describe and Provide the citation:

"Certified Child Care Center" means: a facility that is certified to care for 13 or more children, or a facility that is certified to care for 12 or fewer children and located in a building constructed as other than a single family dwelling.

https://secure.sos.state.or.us/oard/displayDivisionRules.action;JSESSIONID_OAR D=HNpP23xFsSTN_E9KLiWoP8YOQigllena2wVhmKY0h_XytSBIXIRF!349448965?s electedDivision=1908

Family child care.

Describe and Provide the citation:

"Certified Family Child Care Home" means: a child care facility located in a building constructed as a single family dwelling that has certification to care for a maximum of 16 children at any one time. "Registered Family Child Care Home" means the residence of the provider, who has a current family child care registration at that address and who provides care in the family living quarters.

Certified Family Child Care:

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

Registered Family Child Care Home:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=251303>

In-home care (care in the child's own home).

Describe and provide the citation (if applicable):

5.1.2 Describe if any providers are exempted from licensing requirements and how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)).

Effective Date: 10/01/2018

Note: Additional information about exemptions related to CCDF providers is required in 5.1.3. Oregon, Statute (ORS 329A.250) describes child care to NOT include care: in the home of the child; by the child's parents; by a person related within the 4th degree; on an

occasional basis by a person not ordinarily engaged in providing child care; by providers of medical services; by a babysitter; by a person who cares for children from only one family; by a person who cares for no more than three children other than the person's own children. Child care also does not include preschool recorded programs operating less than four hours per day; facilities providing single enrichment activities for school age children; group athletics or social activities sponsored by an organized club; facilities operated by school districts, political sub divisions, or government entities.

Unless the provider is receiving CCDF subsidy, the Lead Agency has no statutory authority for health, safety and child development requirements. If the Lead Agency receives a complaint that any entity is providing child care and operating outside of statute, a visit will be assigned to a licensing specialist for investigation.

5.1.3 Check and describe any CCDF providers in your state/territory who are exempt from licensing (98.40(2)(i) through (iv))? Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care or any other factors applicable to the exemption

Effective Date: 10/01/2018

Center-based child care.

If checked, describe the exemptions.

Facilities operated by a school district, a political subdivision of Oregon, or a government agency. Facilities operating child care for no more than four hours per day.

Family child care.

If checked, describe the exemptions.

License exempt homes (caring for three or fewer children or children from one family) and relatives are exempt from licensing.

In-home care.

If checked, describe the exemptions.

Care provided in the home of the child by an unrelated individual is exempt from licensing as long the provider is caring for three or fewer children, or the children are all from one family.

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.1 Standards on ratios, group sizes, and qualifications for CCDF providers.

Lead Agencies are required to establish child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, that address appropriate ratios between the number of children and number of providers in terms of the age of the children, group size limits for specific age populations, and the required qualifications for providers (658E(c)(2)(H); 98.41(d); 98.16(m)). For ease of responding, this section is organized by CCDF categories of care, licensing status, and age categories. Respondents should map their Lead Agency categories of care to the CCDF categories.

Effective Date: 10/01/2018

a) Licensed CCDF center-based care

1. Infant

-- How does the State/territory define infant (age range):

"Infant" means a child who is at least six weeks of age but is not yet walking on their own.

-- Ratio:

1:4

-- Group size:

8

-- Teacher/caregiver qualifications:

Must be at least 18 years of age with a minimum documentation of attaining

step 8.5 in the Oregon Registry or at least two years of qualifying teacher experience in the care of infants and/or toddlers; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect must be completed during a 90 day orientation period and before having unsupervised access to children. and assistant teacher qualifications: at least 18 years of age with documentation of attaining step 8 in the Oregon Registry or completion of 15 credits of training at a college or university in ECE or Child Development and at least six months of qualifying teaching experience in the care of infants and/or toddlers. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect must be completed during a 90 day orientation period and before having unsupervised access to children.

2. Toddler

-- How does the State/territory define toddler (age range):

"Toddler" means a child who is able to walk alone but is under 36 months of age. "Younger toddler" means a child who is able to walk alone but is under 24 months of age. Younger toddler ratio is 1:4, group size 8. Older toddler means a child who is 24 months of age but under 36 months of age.

-- Ratio:

1:5

-- Group size:

10

-- **Teacher/caregiver qualifications:**

Must be at least 18 years of age with a minimum documentation of attaining step 8.5 in the Oregon Registry or at least two years of qualifying teacher experience in the care of infants and/or toddlers; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect must be completed during a 90 day orientation period and before having unsupervised access to children. and assistant teacher qualifications : Must be at least 18 years of age with documentation of attaining step 8 in the Oregon Registry or completion of 15 credits of training at a college or university in ECE or Child Development and at least six months of qualifying teaching experience in the care of infants and/or toddlers. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant/child CPR and a course on recognizing and reporting child abuse and neglect must be completed during a 90 day orientation period and before having unsupervised access to children.

3. Preschool

-- **How does the State/territory define preschool (age range):**

"Preschool-Age Child" means a child 36 months of age to eligible to be enrolled in the first grade and, during the months of summer vacation from school, eligible to be enrolled in the first grade in the next school year. For purposes of these rules, children attending kindergarten may be considered school-age children.

-- **Ratio:**

1:10

-- Group size:

20

-- Teacher/caregiver qualifications:

Must be at least 18 years of age with a minimum documentation of attaining step 8.5 in the Oregon Registry or at least two years of qualifying teacher experience in the care of preschool-age children; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. and assistant teacher qualifications: Must be at least 18 years of age with documentation of attaining step 8 in the Oregon Registry or completion of 15 credits of training at a college or university in ECE or Child Development and at least six months qualifying teaching experience in the care of preschool-age children. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

4. School-age

-- How does the State/territory define school-age (age range):

"School-Age Child" means a child eligible to be enrolled in the first grade or above and, during the months of summer vacation from school, a child eligible to be enrolled in the first grade or above in the next school year, up to age 13. For purposes of these rules, children attending kindergarten may be considered school-age children.

-- Ratio:

1:15

-- Group size:

30

-- Teacher/caregiver qualifications:

Must be at least 18 years of age with a minimum of documentation of attaining step 8.5 in the Oregon Registry or at least two years of qualifying teacher experience in the care of school-age; or a one year state or nationally recognized credential All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. and assistant teacher qualifications must be at least 18 years of age with documentation of attaining step 8 in the Oregon Registry or completion of 15 credits of training at a college or university in ECE or Child Development and at least six months qualifying teaching experience in the care of school-age children. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

5. If any of the responses above are different for exempt child care centers, describe which requirements apply to exempt centers

Exempt child care centers are required to maintain the same ratios and group sizes as licensed centers. There are no teacher qualifications required for license exempt centers. All center staff must complete required training prior to having unsupervised access to children.

6. Describe, if applicable, ratios, group sizes, and qualifications for classrooms with mixed age groups.

Ratios, group sizes and qualifications must meet the requirements for the

youngest age group in the mixed classroom.

7. Describe the director qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care.

The director must be at least 21 years of age with one year training or experience in management and supervision of adults; and knowledge of child development for the ages served in the center or documentation of step 9 on the Oregon Registry or equivalent knowledge evidenced by a combination of professional references, education, experience and training. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

b) Licensed CCDF family child care provider

1. Infant

-- How does the State/territory define infant (age range):

"Infant" means a child who is at least six weeks of age but is not yet walking alone."Infant" means a child who is at least six weeks of age but is not yet walking alone.

-- Ratio:

1:4 in Certified Family Child Care

Registered Family Child Care allows for 2 infants in care. The maximum ratio is 1:10. Only 2 of the 10 children can be under 2 years old.

-- Group size:

12 for Certified Family Child Care. Registered Family Child Care allows for no more than 2 children under 2 years of age in a group size of 10.

-- Teacher/caregiver qualifications:

In a Certified Family Child Care Home the caregiver must have one year

experience as a family child care provider, or experience in center based setting, or 30 quarter college credits in Early Childhood Education; or documentation of step 8 on the Oregon Registry; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. All caregivers in Certified Family Child Care Homes must complete an infant safe sleep training. and assistant qualifications : be at least 15 years of age and work under the direct supervision of the provider. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. All caregivers in Certified Family Child Care Homes must complete an infant safe sleep training.

In Registered Family Child Care Homes, providers may care for a maximum of two infants in a group size of ten. All caregivers are required to complete an infant safe sleep training in addition to pediatric/infant CPR and First Aid and a course on recognizing and reporting child abuse and neglect.

2. Toddler

-- How does the State/territory define toddler (age range):

"Toddler" means a child who is able to walk alone but is under 36 months of age. "Younger Toddler" means a child who is able to walk alone but is under 24 months of age; "Older Toddler" means a child who is at least 24 months of age but under 36 months of age.

-- Ratio:

In Certified Family Child Care the ratio is 1:4 For Registered Family Child

Care, no more than 2 children under 2 years of age in a group size of 10.

-- Group size:

12 for Certified Family Child Care. The group size for Registered Family Child Care is 10.

-- Teacher/caregiver qualifications:

One year experience as a family child care provider, or experience in center based setting, or 30 quarter college credits in Early Childhood Education; or documentation of step 8 on the Oregon Registry; or a one year state or nationally recognized credential, All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. and assistant qualifications: be at least 15 years of age and work under the direct supervision of the provider. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

Registered Family Child Care providers complete an Overview class, infant or pediatric CPR and First Aid and a course on recognizing and reporting child abuse and neglect.

3. Preschool

-- How does the State/territory define preschool (age range):

"Preschool-Age Child" means a child 36 months of age to eligible to be enrolled in the first grade and, during the months of summer vacation from school, eligible to be enrolled in the first grade in the next school year

-- Ratio:

1:10 in Certified Family Child Care Home. In Registered Family Child Care the provider may care for 6 preschool children in a group size of 10.

-- Group size:

The group size for Certified Family Child Care is 12. The group size for Registered Family Child Care is 10.

-- Teacher/caregiver qualifications:

In Certified Family Child Care, on year experience as a family child care provider, or experience in center based setting, or 30 quarter college credits in Early Childhood Education; or documentation of step 8 on the Oregon Registry; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. Assistant qualifications: be at least 15 years of age and work under the direct supervision of the provider. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

Registered Family Child Care providers complete an Overview class, infant or pediatric CPR and First Aid and a course on recognizing and reporting child abuse and neglect.

4. School-age

-- How does the State/territory define school-age (age range):

"School-Age Child" means a child eligible to be enrolled in the first grade or

above and, during the months of summer vacation from school, a child eligible to be enrolled in the first grade or above in the next school year.

-- Ratio:

1:15 in a Certified Family Child Care Home. 1:10 in Registered Family Child Care Home

-- Group size:

16 for Certified Family Child Care Home. 10 for Registered Family Child Care Home.

-- Teacher/caregiver qualifications:

One year experience as a family child care provider, or experience in center based setting, or 30 quarter college credits in Early Childhood Education; or documentation of step 8 on the Oregon Registry; or a one year state or nationally recognized credential. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period. and assistant qualifications : be at least 15 years of age and work under the direct supervision of the provider. All new staff members are required to receive orientation within the first two weeks of employment. The orientation includes training on contents of child care licensing rules that cover the health and safety requirements referenced in 5.2.3. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period.

Registered Family Child Care providers complete an Overview class, infant or pediatric CPR and First Aid and a course on recognizing and reporting child abuse and neglect

5. If any of the responses above are different for exempt family child care homes, please describe which requirements apply to exempt homes

Exempt family home providers may not care for more than three children, unless the children are from one family. The provider's children do not count.

c) In-home CCDF providers:

1. Describe the ratios

In home CCDF providers are not licensed.

2. Describe the group size

Maximum 3 unrelated children.

3. Describe the maximum number of children that are allowed in the home at any one time.

Three unrelated children or children from one family.

4. Describe if the state/territory requires related children to be included in the child-to-provider ratio or group size

N/A

5. Describe any limits on infants and toddlers or additional school-age children that are allowed for part of the day

N/A

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.2 Health and safety standards for CCDF providers.

States and territories must establish health and safety standards for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the topics listed below, as appropriate to the provider setting and age of the children served (98.41(a)). This requirement is applicable to all child care providers receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this requirement is for providers who are caring for their own relatives because Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements

(98.42(c)).

a) To certify, describe how the following health and safety standards for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)). Note: This question is different from the health and safety training requirements, which are addressed in question 5.2.3.

Effective Date: 10/01/2018

1. Prevention and control of infectious diseases (including immunization)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All licensed and license exempt CCDF provider rules cover prevention and control of infectious disease. All rule sets cover cleaning and sanitation of toys, equipment and furniture. Immunizations meeting the Oregon Health Authority requirements are required by child care licensing rules and required for all types of licensed and license exempt CCDF providers. Rules for sanitation cover caregiver and child handwashing requirements, diaper changing surfaces, building and grounds and garbage.

-- List all citations for these requirements, including those for licensed and license-exempt programs

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Rule for child care centers vary from home based care due to use of commercial

buildings with different environmental health requirements.

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Yes, relatives are exempt from inspections but are required to meet minimum health and safety standards including immunizations requirements.

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Safe sleep practices are in rule for all types of care. This includes rules on sleep furniture, bedding, and placing the infants on their backs for sleeping.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

Rules apply to infants only.

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

3. Administration of medication, consistent with standards for parental consent

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All types of care require parental consent and labeling with the child's name and a requirement for documenting date, time and dosage amount.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

4. Prevention of and response to emergencies due to food and allergic reactions

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Specific written care plans are required for children enrolled who have allergies.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

5. Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Building and physical premises safety rules cover potential safety hazards appropriate to the type of care. All facilities are required to maintain the child care areas in hazard free condition. All facilities are required to have safe drinking water, appropriate room temperatures, protection from electrical fire safety hazards, and smoke detectors. Facilities are not allowed to use wading pools and rules require barriers to eliminate child access to pools, ponds and other bodies of water. Precautions protecting children from vehicular traffic include drop off and pick up at the curb or off street locations protected from traffic.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Rules vary according to whether the facility is a family home or a commercial building.

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment
-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Rules for all types of care require precautions to prevent head trauma, shaken baby syndrome and do not allow for any type of child maltreatment behavior that can cause physical or emotional harm. All child care settings, are required to have a written policy on guidance and discipline that prohibits maltreatment of children. Prohibited punishment and maltreatment examples are clearly outlined in licensing rules and direct staff to be aware of prohibited punishment, and to provide positive guidance, redirection, and the setting of clear limits. Prohibited punishment includes, but is not limited to: Hitting, slapping, shaking, striking with hand or instrument, pinching, tying or binding or inflicting any other form of corporal punishment; Mental or emotional punishment including, but not limited to, name calling, ridicule, yelling, or threats; Non-prescription chemical restraints used for discipline or to control behavior; Confining a child in an enclosed area (e.g., a locked or closed room, closet, box); Forcing or withholding meals, snacks, rest, or necessary toilet use; or belittling a child for or forcing a child to clean up after toileting accidents.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)). Emergency preparedness and response planning (at the child care provider level) must also include procedures for evacuation; relocation; shelter-in-place and lockdown; staff and volunteer training and practice drills; communications and reunification with families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions.

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All sets of rules require child care providers to have an emergency preparedness and response plan meeting the requirements of CCDF rule. The plans must include emergency procedures in the event of evacuations, shelter in place, and lock-down. Evacuation plans must be posted and reunification plans with families must be in place. Facilities must consider and describe accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions. Practice drills are required.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision>

[n=1906](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

[n=1908](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908) and

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

[n=1908](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908) and

[OAR 461-165-0180](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908)

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Licensed child care centers are required to conduct drills more frequently than family based providers.

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All licensed and exempt CCDF providers are required to appropriately dispose of bio-contaminants and keep hazardous materials away from children under lock.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

[n=1904](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

[n=1906](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

[n=1909](#)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

[n=1908](#) and

[OAR 461-165-0180](#)

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

9. Precautions in transporting children (if applicable)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

If providers transport children, they must meet rules for child safety systems and supervision for all types of licensed and exempt CCDF care. Rules define and restrict use of certain vehicles manufactured to carry 10 or more passengers.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

[n=1904](#)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

[n=1906](#)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

[n=1909](#)

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

[n=1908](#) and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

10. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All licensed and license exempt providers are required to have a pediatric first aid and CPR certification. This applies to all directors and caregiving staff members at centers.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt.

11. Recognition and reporting of child abuse and neglect

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All caregivers in all settings are required to report any suspected abuse or harm to a child.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908> and

OAR 461-165-0180

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care

N/A

-- Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

b) Does the Lead Agency include any of the following optional standards?

No, if no, skip to 5.2.3.

Yes, if yes provide the information related to the optional standards addressed.

1. Nutrition

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

All types of licensed care and Regulated Subsidy care are required to meet USDA Child and Adult Care Food Program standards. This includes care in the home of the child.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

and

OAR 461-165-0180

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

Relatives are exempt.

2. Access to physical activity

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Rules for all types of care require providers to have physical activities available to children.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

and

OAR 461-165-0180

-Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Certified Child Care Centers and Certified Family Child Care Homes outline specific requirements for running, climbing and other vigorous physical activities.

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

Relatives are exempt.

3. Caring for children with special needs

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Rule sets for licensed facilities require that if a child with special needs requires a specific plan, the plan shall be developed in writing with the staff and parents and all staff must be fully aware of the plan.

-- List all citations for these requirements, including those for licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Rules apply to for licensed care only.

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

Relatives are exempt.

4. Any other areas determined necessary to promote child development or to protect children's health and safety (98.44(b)(1)(iii)).

Describe:

N/A

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

N/A

-- List all citations for these requirements, including those for licensed and license-exempt providers

N/A

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

N/A

5.2.3 Health and safety training for CCDF providers on required topics.

Lead Agencies are required to have minimum pre-service or orientation training requirements (to be completed within 3 months), as appropriate to the provider setting and the age of children served, that address the health and safety topics described in 5.2.2, and child development. Lead Agencies must also have ongoing training requirements on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). The state/territory must describe its requirements for pre-service or orientation training and ongoing training. These trainings should be part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory. Lead Agencies have flexibility in determining the number of training hours to require, but they

may consult with Caring for our Children Basics for best practices and the recommended time needed to address these training requirements.

Effective Date: 03/08/2020

Pre-Service or Orientation Training Requirements

a) Provide the minimum number of pre-service or orientation training hours on health and safety topics for caregivers, teachers, and directors required for the following:

1. Licensed child care centers:

Rules for licensed Certified Child Care Centers contain standards to meet all of the health and safety training requirements. All new staff members are required to receive orientation within the first two weeks of employment which includes training on contents of licensing rules that cover the health and safety requirements. Introduction to Child Care Health and Safety must be completed within 30 days of hire if not completed pre-service. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period, but must be completed before the individual provides care unsupervised. Total hours for orientation period training that covers all required topics is approximately 12 hours.

In the event of a state declared State of Emergency, health and safety training requirements for Aide 1 and Assistant 1 child care providers in Certified Center Child Care facilities will be temporarily modified. Pre-service training requirements for Aide 1 and Assistant 1 child care providers in Certified Centers will be temporarily waived. The temporary waiver of will last for 60 days after the suspension of the declared emergency.

For all other staff, pre- service trainings will remain in place. For all other staff, both pre-service and on-going training requirements will be maintained. The state will ensure that these requirements can be fulfilled on-line during an emergency period. The ELD will grant extensions on a case-by-case basis for those needing additional time to complete on-going training for license renewals.

2. Licensed FCC homes:

Rules for licensed Certified Child Care Homes contain standards to meet all of the

health and safety training requirements. All new providers, substitutes and employees are required to receive orientation within the first two weeks of employment which includes training on contents of licensing rules that cover the health and safety requirements. Introduction to Child Care Health and Safety must be completed within 30 days of hire if not completed pre-service. First Aid and Infant Child CPR and a course on recognizing and reporting child abuse and neglect can be completed during a 90 day orientation period but must be completed before an individual provides care unsupervised. Registered family child care providers and substitutes must complete all training prior to receiving a license. Total hours for orientation period training that covers all required topics is approximately 12 hours.

In the event of a state declared State of Emergency, health and safety training requirements for Aide 1 and Assistant 1 child care providers in Certified Family Child Care will be temporarily modified. Pre-service training requirements for Aide 1 and Assistant 1 child care providers in Certified Family Child Care will be temporarily waived. The temporary waiver will last for 60 days after the suspension of the declared emergency.

For all other staff, pre-service trainings will remain in place. For all other staff, both pre-service and on-going training requirements will be maintained. The state will ensure that these requirements can be fulfilled on-line during an emergency period. The ELD will grant extensions on a case-by-case basis for those needing additional time to complete on-going training for license renewals.

[3. In-home care:](#)

This category of care is exempt from licensing. For license exempt care in the home of the child, all health and safety training is completed pre-service. The health and safety training and orientation includes all 11 required topics and totals 10 hours.

[4. Variations for exempt provider settings:](#)

For license exempt CCDF providers, all health and safety training is completed pre-service unless a waiver is granted. The health and safety trainings and orientation total 10 hours and include all required topics.

b) Provide the length of time that providers have to complete trainings subsequent to being hired (must be 3 months or fewer)

Caregivers hired at child care centers have up to 90 days to complete first aid and CPR. All other pre-service or orientation requirements must be completed before staff members have unsupervised access to children.

c) Explain any differences in pre-service or orientation training requirements based on the ages of the children served

N/A

d) Describe how the training is offered, including any variations in delivery (e.g. across standards, in rural areas, etc.) Note: There is no federal requirement on how a training must be delivered

State produced training including the Introduction to Child Care Health and Safety is offered online, in-person and in multiple languages. Most pediatric CPR/First Aid certification is acceptable as long as there is an in-person component for CPR.

e) Identify below the pre-service or orientation training requirements for each topic (98.41(a)(1)(i through xi)).

1. Prevention and control of infectious diseases (including immunizations)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 3. Administration of medication, consistent with standards for parental consent

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 4. Prevention and response to emergencies due to food and allergic reactions

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision>

[ion=1904](https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904) and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

[ion=1908](#)

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 8. Handling and storage of hazardous materials and the appropriate disposal of bio contaminants

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 9. Appropriate precautions in transporting children (if applicable)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 10. Pediatric first aid and CPR certification

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 11. Recognition and reporting of child abuse and neglect

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904> and OAR 461-165-0180

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care

for children unsupervised?

- Yes
- No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

- Yes
- No

Describe if relatives are exempt from this requirement

Relatives are exempt from this requirement.

5.2.3e 13.

Describe other training requirements, such as nutrition, physical activities, caring for children with special needs, etc..

N/A

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

N/A

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

- Yes
- No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

- Yes
- No

Describe if relatives are exempt from this requirement

N/A

Ongoing Training Requirements

5.2.4 Provide the minimum number of annual training hours on health and safety topics for caregivers, teachers, and directors required for the following.

Effective Date: 10/1/2019

a) Licensed child care centers:

The state requires that the director, head teacher and all teachers shall participate yearly in at least 15 clock hours of training or education related to child care, of which at least eight clock hours shall be in child development or early childhood education. Annual Health and Safety training is required for all center staff, at least one hour of the 15 hours.

b) Licensed FCC homes:

The state requires that the provider and all caregivers who function as substitute providers and assistant II staff in a Certified Family Child Care Home, including volunteers, shall participate yearly in at least 15 clock hours of training related to child care, of which at least eight clock hours shall be in child development or early childhood education. Registered Family Child Care Providers complete 10 hours of training for every two year renewal period.

Annual Health and Safety training is required for certified family child care provider, at least one hour of the 15 hours. Annual health and safety training, at least one hour, is required for all registered family child care providers.

c) In-home care:

License exempt in-home care providers are required to complete 6 hours of training every two year re-certification period. Annual Health and Safety training is required, at least one hour per year.

d) Variations for exempt provider settings:

All license exempt CCDF Providers are required to complete 6 hours of training every two year re-certification period. Annual Health and Safety training is required, at least one hour per year.

5.2.5 Describe the ongoing health and safety training for CCDF providers by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Effective Date: 10/1/2019

1. Prevention and control of infectious diseases (including immunizations)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Annual Health and Safety training is required for all staff.

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

Between 8/13/19 and 8/13/20, the annual training is Prevention is Better than Treatment training.

After 8/13/20, training in core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year.

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19 - 8/13/20 Prevention is Better than Treatment training.

After 8/13/20. At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/19: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

3. Administration of medication, consistent with standards for parental consent

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidiary

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

4. Prevention and response to emergencies due to food and allergic reactions

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

9. Appropriate precautions in transporting children (if applicable)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

8/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

10. Pediatric first aid and CPR certification

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

OAR 461-165-0180

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

All providers and caregivers are required to maintain current pediatric first aid and CPR certification.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

All providers and caregivers are required to maintain current pediatric first aid and CPR certification.

11. Recognition and reporting of child abuse and neglect

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Centers:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260332>

Certified Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260333>

Registered Family:

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260331>

Exempt/Subsidy

<https://secure.sos.state.or.us/oard/viewSingleRule.action?ruleVrsnRsn=260714>

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

9/13/19-8/13/20: Prevention is Better than Treatment training.

After 8/13/20: At least one hour annually in the core knowledge category of Health, Safety and Nutrition (HSN).

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

Listed on or after 10/1/2019: A health and safety training will need to be taken every year and takes approximately one hour.

Listed prior to 10/1/2019: These providers need to take a Health and Safety training recognized by the OCCD by their two-year re-evaluation and then annually each year

12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1904>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1906>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1909>

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=1908>

OAR 461-165-0180

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

Training in child development is required for each type of care and number of hours varies by category. Certified facility staff must complete 8 hours of child development annually. Registered family child care providers must complete 6 hours every two years.

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

License exempt providers must complete 4 hours of child development training every two years.

13. Describe other requirements such as nutrition, physical activities, caring for children with special needs, etc..

N/A

Provide the citation for other training requirements, including citations for both licensed and license-exempt providers

N/A

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

N/A

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

N/A

5.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.3.1 Enforcement of licensing and health and safety requirements

Lead agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable State and local health and safety requirements, including those described in 98.41 (98.42(a)). This may include, but is not limited to, any systems used to ensure that providers complete health and safety trainings, any documentation required to be maintained by child care providers or any other monitoring procedures to ensure compliance. Note: Inspection requirements are described starting in 5.3.2.

To certify, describe the procedures to ensure that CCDF providers comply with all applicable State and local health and safety requirements

Providers self attest they meet health and safety requirements on the Department of Human Services listing form, the form used to complete background checks and approve providers to receive CCDF payments. The Direct Pay Unit verifies the providers have completed the listing form and required trainings, including CPR and First Aid certifications, Recognizing and Reporting Child Abuse and Neglect and the Introduction to Child Care Health and Safety. The Direct Pay Unit cross matches the provider's reported household with other agency records to ensure all members are reported. If a provider has not completed all required trainings, indicates they do not meet a requirement, or fails to report all household members for background checks the listing form is returned as incomplete and the provider is not approved for payment. Licensed providers and non-relative regulated subsidy providers receive a health and safety site visit to monitor standards are met. OAR 461-165-0180. All requirements are in the Department of Human Services Provider Guide.

In the event of a state declared State of Emergency, the requirements for health and safety monitoring at child care facilities for both licensed child care and regulated subsidy providers will be temporarily waived. In the event that the State of Emergency is related to a pandemic, "virtual visits" to monitor the health and safety of programs in order to maintain social distancing protocols. All non-emergency visits will be postponed until after the Governor lifts the State of Emergency order. Temporary waivers of health and safety monitoring requirements will expire at the suspension of the declared emergency.

5.3.2 Inspections for licensed CCDF providers.

Lead agencies must require licensing inspectors to perform inspections-with no fewer than one pre-licensure inspection for compliance with health, safety, and fire standards-of each child care provider and facility in the state/territory. Licensing inspectors are required to perform no fewer than one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards; it shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards; inspectors may inspect for compliance with all three standards - health, safety, and fire - at the same time (658E(c)(2)(K)(i)(II); 98.16 (n); 98.42(b)(2)(i)). Certify by responding to the questions below to describe your state/territory's monitoring and enforcement procedures to ensure that licensed child care providers comply with licensing standards, including compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards.

Effective Date: 09/30/2019

a) Licensed CCDF center-based child care

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed child care center providers for compliance with health, safety, and fire standards

The State conducts pre-license inspections for compliance with health, safety and fire standards in each type of licensed child care facility.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF child care center providers

Annual unannounced inspections are conducted for Certified Child Care Centers.

3. Identify the frequency of unannounced inspections:

Once a year

More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that child care center providers comply with the applicable licensing standards, including health, safety, and fire standards.

Each center is required to show proof of inspections by the fire marshal and a licensed environmental health specialist. Checklists used for licensing monitoring inspections capture a center's compliance with licensing standards. Inspections include reviewing all required CCDF health, safety and fire standards. Unannounced monitoring visits of Spark rated (Oregon's QRIS) facilities with good compliance history may receive a differential monitoring visit based on key indicator rules. In addition to unannounced annual visits, licensing staff members conduct annual renewal visits. Detailed descriptions of the monitoring visit are located in the licensing manuals. Differential monitoring checklist contains all health and safety requirements.

https://drive.google.com/drive/folders/1NjXaDFnSCVLJcPYWCjzx4yjO0GD9_FOF?usp=sharing

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF center providers

Certified Child Care Licensing Manual

b) Licensed CCDF family child care home

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed family child care providers for compliance with health, safety, and fire standards

The state conducts pre-license inspections for compliance with health, safety and fire standards in each type of licensed family child care facility.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF family child care providers

Annual unannounced inspections are conducted for Certified Family Child Care

Homes (Certified Child Care Licensing Manual section VIII). Registered Family Child Care Homes receive two unannounced inspections within a two year period in addition to a renewal visit.

3. Identify the frequency of unannounced inspections:

- Once a year
 More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that CCDF family child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

Checklists used for monitoring inspections capture a child care facility's compliance with licensing standards. Annual inspections include health, safety and fire standards required by CCDF. The link to the checklist for Certified Family Child Care Home: https://oregonearlylearning.com/wp-content/uploads/2017/03/CRT-104_SAMPLE.pdf. Certified Family Child Care Homes are required to have an annual inspection by a licensed Environmental Health Specialist. Detailed description of the monitoring visit can be found in the licensing manuals Registered Family Child Care Licensing Manual section IV. Link to Registered Family Child Care checklist:

https://oregonearlylearning.com/wp-content/uploads/2017/03/RF-204_Sample.pdf Differential monitoring using a revised checklist can be used when a facility meets certain criteria. The differential monitoring checklist includes all CCDF health and safety, and fire standards.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF family child care providers

Certified Child Care Licensing Manual section VIII, Registered Family Child Care Licensing Manual section IV

c) Licensed in-home CCDF child care

N/A. In-home CCDF child care (care in the child's own home) is not licensed in the State/Territory. Skip to 5.3.2 (d).

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed in-home child care providers for compliance with health, safety, and fire standards

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF in-home child providers

3. Identify the frequency of unannounced inspections:

Once a year

More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that in-home CCDF child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed in-home CCDF providers

d) List the entity(ies) in your state/territory that are responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers

The Early Learning Division Office of Child Care is responsible for completing the pre-licensure and unannounced health and safety inspections. For Certified Child Care Centers, the state or local fire marshal is responsible for continued compliance and inspects most facilities annually. All certified center and certified family child care facilities must have an annual inspection from a licensed environmental health specialist.

5.3.3 Inspections for license-exempt CCDF providers

Lead Agencies must have policies and practices that require licensing inspectors (or qualified

monitors designated by the Lead Agency) to perform an annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety (including, but not limited to, those requirements described in 98.41), and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). Lead Agencies have the option to exempt relative providers (as described in section (658P(6)(B)) from this requirement. To certify, respond to the questions below to describe the policies and practices for the annual monitoring of:

Effective Date: 10/01/2018

a) License-exempt center-based CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used

The state conducts an annual announced monitoring visit to ensure compliance with health, safety and fire standards.

Provide the citation(s) for this policy or procedure

Regulated Subsidy Licensing Manual section V.

b) License-exempt family child care CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used

The state conducts an annual announced monitoring visit to ensure compliance with health, safety and fire standards.

Provide the citation(s) for this policy or procedure

Regulated Subsidy Licensing Manual section V.

c) License-exempt in-home CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, if relative care is exempt from monitoring, and if differential monitoring is used

The state conducts an annual announced monitoring visit to ensure compliance with health, safety and fire standards.

Provide the citation(s) for this policy or procedure

Regulated Subsidy Licensing Manual section V.

d) Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home (98.42(b)(2)(iv)(B)). Does your state use alternate monitoring procedures for monitoring in-home care?

No

Yes. If yes,
describe:

e) List the entity(ies) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers

Early Learning Division Office of Child Care

5.3.4 Licensing inspectors.

Effective Date: 10/01/2018

Lead Agencies will have policies and practices that ensure that individuals who are hired as licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care providers and facilities and have received health and safety training appropriate to the provider setting and age of the children served. Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the State's licensure requirements (658E(c)(2)(K)(i)(I); 98.42(b)(1-2)).

a) To certify, describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care facilities and providers and that those inspectors have received training on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting (98.42(b)(1-2)).

All licensing specialists are qualified to inspect child care facilities and receive ongoing training in licensing and health and safety requirements. The position description and recruitment process calls for background, education and experience in child development or other relevant regulatory experience. Desired attributes for the licensing specialist position include background and education in child care settings. Current practice is to recruit and retain staff members that reflect cultural and language diversity of the provider population served. The state has bilingual/bicultural licensing staff members that speak Spanish, Russian,

Vietnamese, Chinese and English. All new licensing staff are trained in all aspects of the state's licensing requirements through an onboarding plan.

b) Provide the citation(s) for this policy or procedure

The position description for licensing staff require that "the individual in this position must possess knowledge of child development, early childhood education and health and safety requirements"

5.3.5 The states and territories shall have policies and practices that require the ratio of licensing inspectors to child care providers and facilities in the state/territory to be maintained at a level sufficient to enable the state/territory to conduct effective inspections of child care providers and facilities on a timely basis in accordance with federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

Effective Date: 10/01/2018

a) To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis.

A number of factors are considered when determining the facility to licensing specialist ratio. The weighted average caseload is 65-80 facilities per licensing specialist based on the following factors. Size of facility - Certified Child Care Centers require more time to monitor due to the high number of staff members, rooms, children in care and rules to review. Registered Family Child Care Homes and Certified Family Child Care Homes are considered to require one half the level of time in comparison to centers and two facilities are considered as one for purposes of weighting.

Travel in rural areas - licensing staff members serving in rural areas of the state where extensive travel is required will have lower ratios.

Language considerations - staff members who monitor facilities where the provider may speak a home language other than English may also result in a reduced caseload. Wherever possible, the provider (usually a home based facility),

is matched with a licensing specialist who speaks their home language.

b) Provide the policy citation and state/territory ratio of licensing inspectors

Description of ratio policy located in Registered Family Licensing Manual Appendix P and Certified Child Care Manual Appendix R. The weighted average caseload is 65-80 facilities per licensing specialist.

5.3.6 States and territories have the option to exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from inspection requirements. Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from the inspection requirements listed in 5.3.3?

Effective Date: 10/01/2018

Yes, relatives are exempt from all inspection requirements.

If the state/territory exempts relatives from all inspection requirements, describe how the state ensures the health and safety of children in relative care.

Providers self-declare on the provider listing form that they meet all health and safety requirements. Department of Human Services may request evidence of compliance. OAR 461-165-0180 outlines the eligibility requirements for child care providers to receive subsidy payment from Department of Human Services. This includes health and safety standards such as background checks, standards for the home, supervision of children and protection from infectious diseases, compliance with state and federal laws related to child safety systems and seat belts in vehicles, bicycle safety, and crib standards under 16 CFR 1219 and 1220, placing infants to sleep on their backs, etc.

Yes, relatives are exempt from some inspection requirements.

If the state/territory exempts relatives from the inspection requirements, describe which inspection requirements do not apply to relative providers (including which relatives may be exempt) and how the State ensures the health and safety of children in relative care.

No, relatives are not exempt from inspection requirements.

5.4 Criminal Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct criminal background checks for all child care staff members (including prospective staff members) of all child care programs that are 1) licensed, regulated, or registered under state/territory law; or, 2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers) (98.43(a)(1)(i)). Background check requirements apply to any staff member who is employed by a child care provider for compensation, including contract employees and self-employed individuals; whose activities involve the care or supervision of children; or who has unsupervised access to children (98.43(2)). For FCC homes, this requirement includes the caregiver and any other adults residing in the family child care home who are age 18 or older (98.43(2)(ii)(C)). This requirement does not apply to individuals who are related to all children for whom child care services are provided (98.43(2)(B)(ii)).

A criminal background check must include 8 specific components (98.43(2)(b)), which encompass 3 in-state checks, 2 national checks, and 3 inter-state checks

Components	In-State	National	Inter-State
1. Criminal registry or repository using fingerprints in the current state of residency	x		
2. Sex offender registry or repository check in the current state of residency	x		
3. Child abuse and neglect registry and database check in the current state of residency	x		
4. FBI fingerprint check		x	
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)		x	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional			x
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years			x
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years			x

In recognition of the significant challenges to implementing the Child Care and Development Fund (CCDF) background check requirements, all States applied for and received extensions through September 30, 2018. The Office of Child Care (OCC)/Administration for

Children and Families (ACF)/U. S. Department of Health and Human Services (HHS) is committed to granting additional waivers of up to 2 years, in one year increments (i.e., potentially through September 30, 2020) if significant milestones for background check requirements are met.

In order to receive these time-limited waivers, states and territories will demonstrate that the milestones are met by responding to questions 5.4.1 through 5.4.4 and then apply for the time-limited waiver by completing the questions in Appendix A: Background Check Waiver Request Form. By September 30, 2018, states and territories must have requirements, policies and procedures for four specific background check components, and must be conducting those checks for all new (prospective) child care staff, in accordance with 98.43 and 98.16(o):

--The national FBI fingerprint check; and,	
--The three in-state background check provisions for the current state of residency:	
	--state criminal registry or repository using fingerprints;
	--state sex offender registry or repository check;
	--state-based child abuse and neglect registry and database.

All four components are required in order for the milestone to be considered met.

Components	New (Prospective) Staff	Existing Staff
1. Criminal registry or repository using fingerprints in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
2. Sex offender registry or repository check in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
3. Child abuse and neglect registry and database check in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
4. FBI fingerprint check	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff	

	and/or --Conducting checks on current (existing) staff
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff

Use the questions below to describe the status of the requirements, policies and procedures for background check requirements. These descriptions must provide sufficient information to demonstrate how the milestone prerequisites are being met and the status of the other components that are not part of the milestone. Lead Agencies have the opportunity to submit a waiver request in Appendix A: Background Check Waiver Request Form, for components not included in the milestones. Approval of these waiver requests will be subject to verification that the milestone components have been met as part of the CCDF Plan review and approval process.

In-state Background Check Requirements

5.4.1 In-State Criminal Registry or Repository Checks with Fingerprints Requirements (98.43(b)(3)(i)).

Note: A search of a general public facing judicial website does not satisfy this requirement. This check is required in addition to the national FBI criminal history check (5.4.4 below) to mitigate any gaps that may exist between the two sources.

Effective Date: 03/08/2020

a) Milestone #1 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state criminal registry or repository, with the use of fingerprints required in the state where the staff member resides.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

All subject individuals associated with licensed child care facilities are required to complete a fingerprint based background check and be enrolled in the Early Learning Division Central Background Registry. The background check includes a name/date of birth check of the Oregon Law Enforcement Data System and a fingerprint check of the system. ORS 181A.190, ORS 181A.200, OAR 414-061-000-0120, OAR 125-007-0200 to

125-007-0330, OAR 407-007-0200 to OAR 407-007-0370

In the event of a state declared State of Emergency, to expedite filling the needed child care workforce, and due to the significant time required to achieve enrollment in the Central Background Registry (CBR), the ELD will conduct an emergency background check process for those not already enrolled in the CBR. The ELD will require a Law Enforcement Data System (LEDS) check, which pick up the disqualifying state crimes for providers in only a couple of hours, compared to 4-6 weeks for other checks. The fingerprint requirement will be temporarily waived. This waiver applies to all licensed and regulated child care providers. The ELD may cancel or revoke an emergency background authorization at any time, due to any concern that the person poses a risk to children. This waiver will expire 60 days after the suspension of the declared emergency period and the authorization provided by this emergency background check is canceled. That person will need to be enrolled in the CBR to continue work in child care and undergo a fingerprint based background check.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Background checks for license exempt Regulated Subsidy providers and other subject individuals are conducted by the Background Check Unit of the Department of Human Services. All subject individuals are required to complete a fingerprint based background check. The background check includes a name/date of birth check of the Oregon Law Enforcement Data System and a fingerprint check of the system. ORS 181A.195, ORS 181A.200, 181A.215, 409.025, 409.027., OAR 125-007-0200 to 125-007-0330, OAR 407-007-0200 to OAR 407-007-0370

In the event of a state declared State of Emergency, to expedite filling the needed child care workforce, and due to the significant time required to achieve enrollment in the Central Background Registry (CBR), the DHS will conduct an emergency background check process for those not already enrolled in the CBR. DHS will require a Law Enforcement Data System (LEDS) check, which pick up the disqualifying state crimes for providers in only a couple of hours, compared to 4-6 weeks for other checks. The fingerprint requirement will be temporarily waived. This waiver and process would apply to licensed- exempt providers receiving subsidies whose background checks are completed through the Department of Human Services. DHS may cancel or revoke an emergency background authorization at any time, due to any concern that the person

poses a risk to children. This waiver will expire 60 days after the suspension of the declared emergency period and the authorization provided by this emergency background check is canceled. That person will need to be enrolled in the CBR to continue work in child care and undergo a fingerprint based background check.

b) Has the search of the in-state criminal registry or repository, with the use of fingerprints, been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs. **Fingerprinting for all existing staff started January 1, 2017. Many individuals whose Central Background Registry expiration date is between September 30 and December 31 2018 have not completed the fingerprint portion of the state background check as the FBI fingerprint check and the State fingerprint check occur concurrently. All individuals expiring between September 30, 2018 and December 31, 2018 received renewal notices stating the application must be received prior to the expiration date. Staff members from the Early Learning Division's Office of Child are calling individuals to remind them of the necessity of a timely renewal. Two letters have been sent to all subject individuals notifying them of the fingerprint requirement and the notice is in the facility renewal and the Central Background Registry renewal letters.**

Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers). **Fingerprinting for all existing providers began January 1, 2017. Individuals are on a two year re-evaluation cycle and those whose expiration date is between September 30 and December 31, 2018 have not completed the fingerprint portion of the state background check as the FBI fingerprint check and the State fingerprint check occur concurrently. Individuals expiring receive a notice 90 days advance and a second notice 45 days prior to expiration. At the 45 day notice, individuals have 15 days to submit the required form. To encourage compliance, the Department of Human Services is paying the fingerprint capture fee for all license exempt subject individuals.**

Key challenges to fully implementing this requirements. **Challenges include issue with fingerprint capture, rejected prints and a lag time in Oregon State Police response on cases with outstanding issues.**

Strategies used to address these challenges. **Both agencies are working with the state police to mitigate the challenges.**

5.4.2 In-State Sex Offender Registry Requirements (98.43(b)(3)(B)(ii)).

Note: This check must be completed in addition to the national NCIC sex offender registry check (5.4.5 below) to mitigate any gaps that may exist between the two sources. Use of fingerprints is optional to conduct this check.

Effective Date: 10/01/2018

- a) Milestone #2 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state sex offender registry.
 - i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Background checks for staff and subject individuals in licensed facilities are

conducted by the Early Learning Division. The name based criminal check run through the Oregon State Police data base includes Oregon sex offender registry information. Subject individuals must have clearance before they are allowed to work with children.ORS 181A, ORS329A.030, OAR 414-061-0000-0120

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Background checks for staff and subject individuals in license exempt CCDF facilities are conducted by the Department of Human Services Background Check Unit. The name based criminal check run through the Oregon State Police data base includes Oregon sex offender registry information. Subject individuals must have clearance before they are allowed to work with children.ORS 181A, ORS 329A.030, OAR 407-007-0000-0100

b) Has the search of the in-state sex offender registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

Name based in-state sex offender registry background checks for subject individuals in licensed facilities and license exempt CCDF facilities have been conducted on all existing staff. There are no differences in the process for existing staff than what was described for new staff. ORS 181A, ORS329A.030, OAR 414-061-0000-0120, OAR 407-007-0000-0100

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

5.4.3 In-State Child Abuse and Neglect Registry Requirements (98.43(b)(3)(B)(iii)).

Note: This is a name-based search.

Effective Date: 10/01/2018

a) Milestone #3 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state child abuse and neglect registry.

- i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Background checks for staff and subject individuals in licensed facilities are conducted by the Early Learning Division. The Early Learning Division has direct access to OR-Kids, the in-state child abuse and neglect registry. Subject individuals must have clearance before they are allowed to work with children.ORS 181A.195, ORS 181A.200, 409.025, 409.027. ORS329A.030, OAR 125-007-0200 to 0330, OAR 414-061-0000 to 0120, OAR 407-007-0000 to 0100

- ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Background checks for staff and subject individuals in license exempt CCDF facilities are conducted by the Department of Human Services Background Check Unit. OR-Kids, the state's child abuse and neglect registry is housed at the Department of Human services and background check staff have direct access to information. Subject individuals must have clearance before they are allowed to work with children.ORS 181A.195, ORS 181A.200, 409.025, 409.027. ORS329A.030, OAR 125-007-0200 to 0330, OAR 414-061-0000 to 0120, OAR 407-007-0000 to 0100

b) Has the search of the in-state child abuse and neglect registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

There is no difference in the process for existing staff. ORS 181A.195, ORS 181A.200, 409.025, 409.027. ORS329A.030, OAR 125-007-0200 to 0330, OAR 414-061-0000 to 0120, OAR 407-007-0000 to 0100

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state child abuse and neglect registry for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

National Background Check Requirements

5.4.4 National FBI Criminal Fingerprint Search Requirements (98.43(b)(1)).

Note: The in-state (5.4.1 above) and the inter-state (5.4.6 below) criminal history check must be completed in addition to the FBI fingerprint check because there could be state crimes that do not appear in the national repository. Also note, that an FBI fingerprint check satisfies the requirement to perform an interstate check of another State's criminal history records repository if the responding state (where the child care staff member has resided within the past five years) participates in the National Fingerprint File program (CCDF-ACF-PIQ-2017-01).

a) Milestone #4 Prerequisite for New (Prospective) Child Care Staff. Describe the requirements, policies and procedures for the search of the National FBI fingerprint check.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

FBI fingerprint background checks and state checks for staff and subject individuals in licensed facilities are conducted by the Early Learning Division and required for all caregivers associated with a licensed child care facility. FBI fingerprint checks are conducted on all individuals subject to the background check requirement by statute and rule. ORS 181A.195, ORS 181A.200, 409.025, 409.027, ORS329A.030, OAR 125-007-0200 to 0330, OAR 414-061-0000 to 0120, OAR 407-007-0000 to 0100

In the event of a state declared State of Emergency, to expedite filling the needed child care workforce, and due to the closure of many fingerprinting facilities, the ELD will conduct an emergency background check process and waive the requirement for FBI fingerprint background checks for staff and subject individuals in licensed facilities. The ELD may cancel or revoke an emergency background authorization at any time, due to any concern that the person poses a risk to children. This waiver will expire 60 days after the suspension of the declared emergency period and the authorization provided by this emergency background check is canceled. That person will need to do an FBI fingerprint background check to continue work in child care.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

FBI fingerprint background checks for staff and subject individuals in license exempt CCDF facilities are conducted by the Department of Human Services Background Check Unit. All subject individuals are required to complete an FBI fingerprint background check prior to approval for CCDF subsidy funds. ORS 181A.195, ORS 181A.200, 409.025, 409.027, ORS329A.030, OAR 125-007-0200 to 0330, OAR 414-061-0000 to 0120, OAR 407-007-0000 to 0100

In the event of a state declared State of Emergency, to expedite filling the needed child care workforce, and due to the closure of many fingerprinting facilities, the Department of Human Services Background Check Unit will conduct an emergency background check

process and waive the requirement for FBI fingerprint background checks for staff and subject individuals in all license-exempt CCDF facilities. DHS may cancel or revoke an emergency background authorization at any time, due to any concern that the person poses a risk to children. This waiver will expire 60 days after the suspension of the declared emergency period and the authorization provided by this emergency background check is canceled. That person will need to do an FBI fingerprint background check to continue work in child care.

b) For all current (existing) child care staff, has the FBI criminal fingerprint check been conducted?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

- No. (Waiver request allowed. See Appendix A). Describe the status of conducting the FBI fingerprint check for current (existing) child care staff including:
- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
 - Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
 - Key challenges to fully implementing this requirements
 - Strategies used to address these challenges

Describe:

Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs. **Fingerprinting for all existing staff started January 1, 2017.**

All individuals expiring between September 30, 2018 and December 31, 2018 received renewal notices stating the application must be received prior to the expiration date. Staff members from the Early Learning Division's Office of Child are calling individuals to remind them of the necessity of a timely renewal. Two letters were sent to all subject individuals notifying them of the fingerprint requirement and the notice is in the facility renewal and the Central Background Registry renewal letters. Most of these individuals have completed required fingerprinting. A very small group of individuals did not respond to the Early Learning Division's request and the Early Learning Division is in the process of removing those individuals.

Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers). **Fingerprinting for all existing providers began January 1, 2017.**

Individuals are on a two year re-evaluation cycle and those whose date is between September 30 and December 31 2018 have not completed the FBI fingerprint portion of the background check. Individuals expiring receive a notice 90 days advance and a second notice 45 days prior to expiration. At the 45 day notice, individuals have 15 days to submit the required form. To encourage compliance, the Department of Human Services is paying the fingerprint capture fee for all license exempt subject individuals.

Key challenges to fully implementing this requirements. **Challenges include issue with fingerprint capture, rejected prints and a lag time in Oregon State Police response on cases with outstanding issues.**

Strategies used to address these challenges. **Both agencies are working with the state police to mitigate the challenges.**

National Background Check Requirements

5.4.5 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Search Requirements (98.43(b)(2)).

Note: This is a name-based search. Searching general public facing sex offender registries does not satisfy this requirement. This national check must be required in addition to the in-state (5.4.2 above) or inter-state (5.4.7 below) sex offender registry check requirements. This check must be performed by law enforcement.

Effective Date: 10/01/2018

- a) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all new (prospective) child care staff

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs. **Only law enforcement entities can access the NCIC for the NSOR file. The Department of Education and the Department of Human Services are not law enforcement agencies. Staff members from the Early Learning Division Office of Child Care and Department of Human Services Background Check Unit have met with the Oregon State Police several times to discuss the federal requirements. Oregon State Police representatives determined recently they do not have the statutory authority to release the information. The Department of Human Services and the Department of Education jointly developed a legislative concept for consideration in the 2019 legislative session to access the federally required information.**

Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers). **Only law enforcement entities can access the NCIC for the NSOR file.**

The Department of Education and the Department of Human Services are not law enforcement agencies. Staff members from the Early Learning Division Office of Child Care and Department of Human Services Background Check Unit have met with the Oregon State Police several times to discuss the federal requirements. Oregon State Police representatives determined recently they do not have the statutory authority to release the information. The Department of Human Services and the Department of Education jointly developed a legislative concept for consideration in the 2019 legislative session to access the federally required information.

Key challenges to fully implementing this requirements. **Statutory authority to implement.**

Strategies used to address these challenges. **Both agencies are working with their legislative staff, the Secretary of State Audit Department and the Oregon State Policeto address these challenges.**

b) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs. **Only law enforcement entities can access the NCIC for the NSOR file. The Department of Education and the Department of Human Services are not law enforcement agencies. Staff members from the Early Learning Division Office of Child Care and Department of Human Services Background Check Unit have met with the Oregon State Police several times to discuss the federal requirements. Oregon State Police representatives determined recently they do not have the statutory authority to release the information. The Department of Human Services and the Department of Education jointly developed a legislative concept for consideration in the 2019 legislative session to access the federally required information.**

Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers). **Only law enforcement entities can access the NCIC for the NSOR file. The Department of Education and the Department of Human Services are not law enforcement agencies. Staff members from the Early Learning Division Office of Child Care and Department of Human Services Background Check Unit have met with the Oregon State Police several times to discuss the federal requirements. Oregon State Police representatives determined recently they do not have the statutory authority to release the information. The Department of Human Services and the Department of Education jointly developed a legislative concept for consideration in the 2019 legislative session to access the federally required information.**

Key challenges to fully implementing this requirements. **Statutory authority to implement.**

Strategies used to address these challenges. **Both agencies are working with their legislative staff, the Secretary of State Audit Department and the Oregon State Police to address these challenges.**

Inter-state Background Check Requirements

Checking a potential employee's history in any state other than that in which the provider's services are provided qualifies as an inter-state check, per the definition of required criminal background checks in 98.43(b)(3). For example, an inter-state check would include situations when child care staff members work in one state and live in another state. The statute and regulations require background checks in the state where the staff member resides and each state where the staff member resided during the previous 5 years. Background checks in the state where the staff member is employed may be advisable, but are not strictly required.

5.4.6 Interstate Criminal Registry or Repository Check Requirement (including in any other state where the individual has resided in the past 5 years). (98.43 (b)(3)(i)).

Note: It is optional to use a fingerprint to conduct this check. Searching a general public facing judicial website does not satisfy this requirement. This check must be completed in addition to the national FBI history check (5.4.4 above) to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).

Effective Date: 05/01/2020

a) Has the interstate criminal registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Interstate criminal background checks for staff and subject individuals in licensed facilities are conducted by the Early Learning Division and required for all caregivers associated with a licensed child care facility where the individual has resided in the past 5 years. For states that belong to the NFF states we use the FBI fingerprint checks. For the non NFF states we conduct those checks per the states procedures. Checks are conducted on all individuals subject to the background check requirement by statute and rule. ORS329A.030 OAR 414-061-0000 to 0120

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Interstate criminal background checks for subject individuals who are license-exempt CCDF providers are conducted by the Department of Human Services (Background Check Unit) and are required for all subject individuals who disclose residence in another state in the past 5 years. For states that belong to the NFF states, FBI fingerprint checks are used. For the non-NFF states, the Background Check Unit conducts those checks per the state's procedures. OAR 407-007-0200 to 407-007-370

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the interstate criminal registry or repository check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

b) Has the interstate criminal registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

N/A

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate criminal registry or repository check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

5.4.7 Interstate Sex Offender Registry or Repository Check Requirements (including in any state where the individual has resided in the past 5 years). (98.43 (b)(3)(ii)).

Note: It is optional to use a fingerprint to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) (5.4.5 above) to mitigate any gaps that may exist between the two sources.

Effective Date: 12/30/2019

a) Has the interstate sex offender registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Interstate sex offender registry or repository check are conducted for staff and subject individuals in licensed facilities and conducted by the Early Learning Division and required for all caregivers associated with a licensed child care facility where the individual has resided in the past 5 years. The public facing NSOR check is used for this check. However, if this check is also available when requesting the criminal interstate check we will ask for both checks. The sex offender registry or repository checks are conducted on all individuals subject to the background check requirement by statute and rule. ORS329A.030, OAR 414-061-0000 to 0120

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide

[citations](#)

Interstate sex offender registry or repository check for subject individuals who are license-exempt CCDF providers are conducted by the Department of Human Services (Background Check Unit) and are required for all subject individuals who disclose residence in another state in the past 5 years. The public facing NSOR check is used for this check. However, if this check is also available when requesting the criminal interstate check, the Background Check Unit will ask for both checks. OAR 407-007-0200 to 407-007-370

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

b) Has the interstate sex offender registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

N/A

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

5.4.8 Interstate Child Abuse and Neglect Check Registry Requirements (98.43 (b)(3)(iii)).

Note: This is a name-based search.

Effective Date: 12/30/2019

a) Has the interstate child abuse and neglect check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Interstate Child Abuse and Neglect Check Registry are conducted for staff and subject individuals in licensed facilities and are conducted by the Early Learning Division and required for all caregivers associated with a licensed child care facility where the individual has resided in the past 5 years. The interstate child abuse and neglect registry checks are conducted on all individuals subject to the background check requirement by statute and rule. ORS329A.030, OAR 414-061-0000 to 0120

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Interstate Child Abuse and Neglect Registry Checks for subject individuals who are license-exempt CCDF providers are conducted by the Department of Human Services (Background Check Unit) and are required for all subject individuals who disclose residence in another state in the past 5 years. The checks are conducted per the state's process where the individual resided. OAR 407-007-0200 to 407-007-370

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

b) Has the interstate child abuse and neglect check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

N/A

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

Provisional Employment

The CCDF final rule states a child care provider must submit a request to the appropriate state/territory agency for a criminal background check for each child care staff member, including prospective staff members, prior to the date an individual becomes a child care staff member and at least once every 5 years thereafter (98.43(d)(1) and (2)). A prospective child care staff member may not begin work until one of the following results have been returned as satisfactory: either the FBI fingerprint check or the search of the state/territory criminal registry or repository using fingerprints in the state/territory where the staff member resides. The child care staff member must be supervised at all times pending completion of all the background check components (98.43(d)(4)).

Note: In recognition of the concerns and feedback OCC received related to the provisional hire provision of the CCDF final rule, OCC will allow states and territories to request time-limited waiver extensions for the provisional hire provision. State/territories may submit a waiver request to allow additional time to meet the requirements related to provisional hires (see Appendix A). A state/territory may receive a waiver from this requirement only when:

1. the state requires the provider to submit the background check requests before the staff person begins working; and
2. the staff member, pending the results of the elements of the background check, is supervised at all times by an individual who has completed the background check.

5.4.9 Describe the state/territory requirements related to prospective child care staff members using the checkboxes below. (Waiver request allowed. See Appendix A). Check all that apply.

Effective Date: 03/08/2020

- The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after completing and receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides.

Describe and include a citation:

The Department of Human Services requires results from completed FBI fingerprint based check before providers and subject individuals, exempt from licensing, are authorized to care for children accessing CCDF funds. ORS 181A.190, ORS 181A.200, OAR 414-061-000-0120, OAR 125-007-0200 to 125-007-0330, OAR 407-007-0200 to OAR 407-007-0370

The Early Learning Division / Office of Child Care requires either completed & satisfactory FBI fingerprint based check or completed & satisfactory fingerprint based check for Oregon and current state of residency if not Oregon, to be allowed to provide provisional (i.e. supervised) care. ORS 329A.030; [414-061-0020](#); [414-061-](#)

[0060](#) ; [414-061-0070](#); [414-061-0075](#); [414-061-0090](#).

During the duration of the state-declared emergency period, not to exceed one year initially, the ELD will temporarily waive the requirements at 45 CFR 98.43(d)(4) so that child care staff may begin working unsupervised without awaiting the results of the FBI fingerprint check or the state fingerprint check. The FieldPrint sites with which the state contracted for fingerprinting are closed due to social distancing. The same waiver and process would apply to licensed- exempt providers receiving subsidies whose background checks are completed through the Department of Human Services. The ELD may cancel or revoke an emergency background authorization at any time, due to any concern that the person poses a risk to children. Once the waiver period ends, the authorization provided by this emergency background check is canceled. That person will need to be enrolled in the CBR, which includes passing the FBI fingerprint check and state fingerprint check, to continue to work in child care.

- [The state/territory allows prospective staff members to begin work on a provisional basis \(if supervised at all times\) after the request has been submitted, but before receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides. Note: A waiver request is allowed for this provision \(see Appendix A\).](#)

Describe and include a citation:

N/A

- [Other.](#)

Describe:

5.4.10 The state/territory must conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request. The state/territory shall provide the results of the background check in a statement that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the state/territory will provide information about each disqualifying crime to the staff member.

Effective Date: 10/01/2018

Describe the requirements, policies, and procedures in place to respond as expeditiously as possible to other states', territories', and tribes' requests for background check results to accommodate the 45-day timeframe, including any agencies/entities responsible for responding to requests from other states (98.43(a)(1)(iii)).

The Early Learning Division is not the law enforcement entity in the state and has no authority to respond to other states', territories' or out of state tribal requests for Oregon state background check results or to conduct background checks on their behalf. States and territories may contact the Oregon State Police for state criminal and sex offender checks.

The Early Learning Division conducts background checks as quickly as possible for individuals applying for enrollment in the Central Background Registry. The Department of Human Services conducts background checks as quickly as possible for license exempt providers and other subject individuals. When enrollment is approved or denied in either system, the applicant is informed. The denial notice outlines the reason and specifies the disqualifying crimes and conviction information.

States and Territories may contact the Oregon Department of Human Services, Child Protective Services for child abuse and neglect check information.

5.4.11 Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry. Potential staff members also cannot be employed by a provider receiving CCDF funds if they have been convicted of: a felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or - subject to an individual review (at the state/territory's option)- a drug-related offense committed during the preceding 5 years; a violent misdemeanor committed as an adult against a child, including the following crimes - child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography (98.43(c)(1)).

Note: The Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

Effective Date: 10/01/2018

Does the state/territory disqualify child care staff members based on their conviction for other crimes not specifically listed in 98.43(c)(i)?

No

Yes.

Describe other disqualifying crimes and provide citation:

In addition to crimes listed, felonies and misdemeanors considered crimes against persons are considered. This includes property, including theft, involving fraud or deception, crimes against the state and public justice, public order including firearms, against public health, decency and animals, and major traffic crimes. ORS 181A.190, ORS 181A.200, OAR 414-061-000-0120, OAR 125-007-0200 to 125-007-0330, OAR 407-007-0200 to OAR 407-007-0370

5.4.12 The state/territory has a process for a child care staff member to appeal the the results of his or her background check to challenge the accuracy or completeness of the criminal background report, as detailed in 98.43(e)(3).

Effective Date: 10/01/2018

Describe how the Lead Agency ensures the privacy of background checks and provides opportunities for applicants to appeal the results of background checks. In addition, describe whether the state/territory has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43(e)(2-4)).

Background checks are conducted in secure areas by staff members with Criminal Justice Information System clearance. No information on individuals is provided to anyone outside the department. The Department of Human Services and the Early Learning Division have processes to appeal the results of background checks through a contested case hearing. (OAR 414-061-0120 and OAR 407-007-0330). All

contested case hearings requested for inaccurate information contained within records received from Oregon State Police, the FBI or child protective services must be made through those departments. Any conviction including a felony drug conviction is eligible for a review.

5.4.13 The state/territory may not charge fees that exceed the actual costs of processing applications and administering a criminal background check (98.43(f)).

Effective Date: 10/01/2018

Describe how the state/territory ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether they are conducted by the state/territory or a third-party vendor or contractor. Lead Agencies can report that no fees are charged if applicable (98.43(f)).

Currently, the state subsidizes all background checks processing and administrative costs. Fees charged are less than actual costs.

5.4.14 Federal requirements do not address background check requirements for relative providers who receive CCDF; therefore, states have the flexibility to decide which background check requirements relative providers must meet, as defined by CCDF in 98.2 under eligible child care provider.

Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from background checks?

Effective Date: 10/01/2018

- No, relatives are not exempt from background check requirements.
- Yes, relatives are exempt from all background check requirements.
- Yes, relatives are exempt from some background check requirements. If the state/territory exempts relatives from some background check requirements, describe which background check requirements do not apply to relative providers.

6 Recruit and Retain a Qualified and Effective Child Care Workforce

This section covers the state or territory framework for training, professional development, and post-secondary education (98.44(a)); provides a description of strategies used to strengthen the business practices of child care providers (98.16(z)); and addresses early learning and developmental guidelines.

States and territories are required to describe their framework for training, professional development, and post-secondary education for caregivers, teachers, and directors, including those working in school-age care (98.44(a)). This framework is part of a broader systematic approach building on health and safety training (as described in section 5) within a state/territory. States and territories must incorporate their knowledge and application of health and safety standards, early learning guidelines, responses to challenging behavior, and the engagement of families. States and territories are required to establish a progression of professional development opportunities to improve the knowledge and skills of CCDF providers (658E(c)(2)(G)). To the extent practicable, professional development should be appropriate to work with a population of children of different ages, English-language learners, children with disabilities, and Native Americans (98.44(b)(2)(iv)). Training and professional development is one of the options that states and territories have for investing their CCDF quality funds (658G(b)(1)).

6.1 Professional Development Framework

6.1.1 Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors, which is developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components: (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on the strategies, breadth, and depth with which states and territories will develop and implement their framework.

Effective Date: 10/01/2018

a) Describe how the state/territory's framework for training and professional development addresses the following required elements:

-- State/territory professional standards and competencies. Describe:

Oregon's Core Knowledge Categories provide the foundation for Oregon's Career Development Systems. These 10 categories are the basis for training required for Oregon Child Care Licensing, Spark (QRIS), and programs that receive Department of Human Services subsidies. The core knowledge categories are: Diversity, Families and Community Systems, Health Safety and Nutrition, Human Growth and Development, Learning Environments and Curriculum, Observation and Assessment, Personal Professional Leadership, Program Management, Special Needs, and Understanding Guiding Behavior. These 10 areas offer guidance to professionals for providing quality and culturally responsive care and education for children.

-- Career pathways. Describe:

The Oregon Registry: Pathways for Professional Recognition in Childhood Care and Education (career lattice) include Step 1 through Step 12. Each step represents training and education in the Core Knowledge Categories. There are three pathways for moving up in the Oregon Registry. 1) Degree, Credential, Certificate (DCC), 2) College Course Credit (CCC), and Community Based Training (CBT).

-- Advisory structure. Describe:

The Professional Development Committee (PDC) is a statewide representative group of cross sector early childhood agencies, organizations and individuals who approach the early learning professional development system from different needs and interests. A large number of the Professional Development Committee members are also customers of the early learning professional development system, and they are able to provide a more intimate knowledge of successes and difficulties of accessing the system. The PDC provides feedback to the early learning and child care professional development system as groups bring in proposals for changes, next steps, or discussion for new/additional avenues for access to the workforce.

-- Articulation. Describe:

Most of Oregon's Community Colleges provide credit for prior learning for an Oregon Registry Step 7 or a CDA. The college course credits vary among the community colleges. Typically, an early learning professional could acquire from 8 - 15 credits in early childhood education.

-- Workforce information. Describe:

Oregon tracks multiple data points on the early learning workforce. Examples of data topics include: numbers of early learning educators and their employment title in the field, numbers of professionals at each step on the Oregon Registry by county, numbers and types of early learning trainers in the Oregon Registry Trainer program, number of attendees to each training event, number of individuals that complete the online trainings that Oregon offers (Introduction to Child Care Health and Safety, Department of Human Services Provider Requirements, Recognizing Child Abuse and Neglect, and the Oregon Early Learning Standards).

-- Financing. Describe:

The Early Learning Division funds organizations to provide professional development services and access to the early learning workforce. These organizations include the statewide child care resource and referral system. The Oregon Center for Career Development in Childhood Care and Education operates the Oregon Registry Pathways for Professional Recognition in Childhood Care and Education programs. The Research Institute at Western Oregon University administers Spark (Oregon's Quality Rating and Improvement System or QRIS) which supports professional development work at the program level as well as promoting increased professional development for staff.

b) The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.

- Continuing education unit trainings and credit-bearing professional development to the extent practicable

Describe:

College course credits can be used to achieve a higher step on the Oregon

Registry. All caregivers in licensed facilities have some level of ongoing training required by licensing. This is also true for regulated subsidy providers. This ongoing annual training and required content can be used to advance on the Oregon Registry. If individuals achieve an Oregon Registry Step 7 they can present this to their local community college and follow the process for acquiring college course credit.

Engagement of training and professional development providers, including higher education, in aligning training and educational opportunities with the state/territory's framework

Describe:

As individuals achieve an Oregon Registry Step 7 or a Child Development Associate Credential, they can present this to their local community college and follow the process for acquiring college course credit. Some child care resource and referral programs across the state have begun to work with and advocate for community colleges to provide credit for providers for trainings at local child care resource and referral programs. Child care resource and referral programs work with their local early learning hubs to identify priority hot spots to ensure that resources and services for recruitment and retention are targeted to populations furthest from opportunity. The Southern Oregon Early Learning Professional Development Consortium is a pilot project to establish articulation agreements among four Community Colleges and Southern Oregon University to support early educators to obtain an ECE degree. The collaborative partnership includes three child care resource and referral programs providing relationship-based professional development through the Quality Improvement Specialists, who guide the cohorts in work/life/school balance and navigate the college system.

Other

Describe:

6.1.2 Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the

professional development, training, and education of child care providers and staff.

The Early Learning Division and a subcommittee of the Early Learning Council, the Childhood Care and Education Committee, worked together in gathering public feedback on rule revisions. This included rules on training and qualifications for the early learning workforce. Consultation was sought from Senior Licensing Specialists, and Oregon's professional development system, key partners and staff.

Effective Date: 10/01/2018

6.1.3 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)).

Licensed and license exempt providers through their perspective unions are eligible for financial assistance to receive college credit in an amount up to \$300. Through leveraged funding, the Oregon Center for Career Development offers statewide scholarships for individuals to attend college. As providers participate in more ECE trainings and advance towards a higher education degree, they gain more knowledge, skills and abilities in child care and education, thereby improving the quality of their child care programs. Additionally, they receive the support and opportunities to practice and master their skills through the instructors and peers in their cohorts. Tools were added that helped early learning educators view their progress toward meeting their requirements. This includes myORO which allows individuals to view their professional development statement which contains all the training achievements they have submitted to ORO. Data tracking mechanisms have been developed that allow us to collect on several aspects of the early learning workforce (discussed in detail in 7.5.2 and 7.7.3) that allow us to view progress on training, education, and retention. The division also view demographics on the workforce to know who is participating in incentive opportunities.

Child care resource and referral programs provide incentives such as scholarships for trainings, curricula, and classroom materials to reduce barriers to increased education and movement in Spark and meet requirements to encourage retention. Education awards are offered to individuals who meet certain requirements in the

Oregon Registry Step milestones. Quality in child care programs is enhanced as providers gain increased awareness, knowledge, skills and application in developmentally appropriate practices. Child outcomes are improved as providers improve the quality of their care through education attainment and remaining in the Child Care and Education field. Incentives allow providers to remain in the child care field who might otherwise leave because of the inability to afford continuing education requirements.

Spark, with its specific professional development requirements, provides ratings which allow programs to obtain higher reimbursement from Department of Human Services child care subsidies. Spark also provides post-rating incentive payments to maintain quality, which is often used to help subsidize staff training and professional development.

Some child care resource and referral programs across the state have begun to work with local high schools to provide training on child care career pathways. Students are able to attend child development classes and receive college credit towards an ECE certificate or degree while still in high school. Students are able to determine early on if the child care and education field is a career they want to pursue. Early Learning Division and OCCD served as “professional development industry experts” to assist the Oregon Department of Education Early Childhood career and technical ECE Standards Revision Group, as they re-wrote their standards and competencies to reflect the early childhood practices that aligned with the Oregon Education Skill sets.

Effective Date: 10/01/2018

6.2 Training and Professional Development Requirements

The Lead Agency must describe how its established health and safety requirements for pre-service or orientation training and ongoing professional development requirements--as described in Section 5 for caregivers, teachers, and directors in CCDF programs--align, to the extent practicable, with the state/territory professional development framework. These

requirements must be designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

6.2.1 Describe how the state/territory incorporates the knowledge and application of its early learning and developmental guidelines (where applicable); its health and safety standards (as described in section 5); and social-emotional/behavioral and early childhood mental health intervention models, which can include positive behavior intervention and support models (as described in section 2) in the training and professional development framework (98.44(b)).

The Early Learning Standards training is available in English and Spanish. The training is online with no fee which provides an incentive for providers to take the training as part of the total hours of annual professional development. Each of the domains in the Early Learning Standards are directly related (translated) to the core knowledge categories of the professional development system. All training accepted to meet training and professional development requirements must meet one of the core knowledge categories. There is no requirement for a specific social-emotional/behavioral training model in the professional development requirements. Social-emotional/behavioral and mental health content falls within 2 core knowledge categories, Human Growth and Development (HGD) and Understanding and Guiding Behavior (UGB). In order to advance in the Oregon Registry following the community-based training pathway, or combination of community-based and college course pathway, an individual must have training hours in Human Growth and Development and Understanding and Guiding Behavior to move beyond a Step 4. In the degree, credential, certificate pathway, and the college course credit pathway, education hours in Understanding and Guiding Behavior become requirements in higher steps (Step 9 or Step 7). Registered family child care providers are required to complete the following training: A Family Child Care Overview provided by the child care resource and referral programs; Introduction to Child Care Health and Safety, First Aid, CPR, Food Handler's Certification, Recognizing and Reporting Child Abuse and Neglect and 10 hours of training every two years. Certified family child care providers are required to complete: Introduction to Child Care Health and Safety, First Aid, CPR, Food Handler's Certification, Recognizing and Reporting Child Abuse and Neglect and 15

hours of training annually. An Assistant 2 must complete: Introduction to Child Care Health and Safety, First Aid, CPR, Food Handler's Certification, Recognizing and Reporting Child Abuse and Neglect (if the facility is licensed for more than 12 children) and 15 hours of annual training.

Child Care Centers: Teachers and Aide 2's are required to complete: An Orientation, Introduction to Child Care Health and Safety, First Aid, CPR, Food Handlers Certification (if they work with food), and Recognizing and Reporting Child Abuse and Neglect. In addition, teachers and directors are required to have 15 hours of annual training. Directors and substitute staff are also required to complete the Introduction to Child Care Health and Safety. Child Care Health and Safety training is incorporated into the foundational professional development expectations to become licensed and accept subsidies. The Early Learning Standards and social-emotional behavioral training model are not embedded in a professional development foundation or pathway, however, they are included in the Core Knowledge Categories and required training hours for advancement in the Oregon Registry.

Effective Date: 10/01/2018

6.2.2 Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)).

Oregon's Early Learning Division contracts with programs in the child care resource and referral system to provide training to child care providers in communities throughout the state. The child care resource and referral system programs add all their trainings to the online training calendar and advertise in their newsletters. The child care resource and referral system programs routinely conduct outreach activities promoting professional development opportunities to all early learning programs including but not limited to licensed and license exempt child care providers, and Head Start employees and providers associated with the Tribes. There are many partnerships between child care resource and referral programs and the Tribes. In Deschutes County, the child care resource and referral program works with

the Warm Springs Tribe to offer training and on request, will provide staff training on the reservation at the child care facility. The Child Care Resource Network of Klamath and Lake Counties established a partnership with Klamath Tribes to provide technical assistance for the new tribal child care center and to provide staff training at no fee in order to complete needed training and professional development. The Coos and Curry county child care resource and referral program works with the Coquille Tribe and the Confederated Tribes of Coos, Lower Umpqua and Siuslaw. The Coquille Tribe, and specifically the Coquille Tribal Head Start are included in all training and conference notifications and member have participated in the annual Retreat by the Lake conference. Staff members from the Siletz Tribal Child Care Center – Tenas Ilahee participate in trainings and technical assistance offered by the child care resource and referral program. The Oregon Center for Career Development offers several training of trainers throughout the state so all geographic areas can send representatives to become trainers of curriculum offered statewide. Oregon Center for Career Development provides technical assistance to trainers before, during and after the application process to become a trainer. The Early Learning Division recognizes the importance of trainers who represent the diverse communities represented in Oregon.

Effective Date: 10/01/2018

6.2.3 States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers:

Effective Date: 10/01/2018

a) with limited English proficiency

The Early Learning Division translates all essential child care provider documents into Spanish, Chinese, Vietnamese and Russian through a translation vendor. Designated staff members who speak the languages fluently proof the materials. Early learning system providers have access to a language line with multiple languages available. The Early Learning Division provides registered family child licensing rules books in

English, Spanish, Russian, Vietnamese and Chinese. The Early Learning Division employs individuals who speak these languages in geographic areas where these languages are prominent. The Early Learning Division works closely with the Immigrant and Refugee Community Organization who access a federal microenterprise development grant to recruit providers and help them establish child care businesses. The providers are from Burma (Myanmar) and Somalia and other countries. Child care resource and referral programs provide workshops and publications in other languages. The Registered Family Child Care Overview is available in multiple languages including Spanish, Russian, Vietnamese and Chinese. Many child care resource and referral programs employ individuals who are actively involved in their language community and develop culturally responsive trainings. Child care resource and referral trainers frequently teach classes in other languages and take extra effort to market the trainings to specific populations. All workshops relate to one or more of Oregon's core knowledge categories and meet Oregon Training and Education criteria. Fourteen of Oregon's standardized trainings are offered in at least one language other than English. The Oregon Registry provides major documents and training in Spanish and Russian. Outreach efforts for recruitment in Spark (Oregon's QRIS) target providers who are further from opportunity and prioritize services for diverse populations in a culturally responsive manner. Programs adjust curricula, deadlines and processes to serve and include all populations. The Early Learning Division also assesses on a quarterly basis the numbers of professional development trainings offered in each language through the statewide training calendar. This allows us to provide technical assistance and information to all early learning organizations.

b) who have disabilities

Child care resource and referral programs support child care providers with disabilities. Professional interpretation and signing for deaf or hearing impaired providers is available to meet the needs of child care providers entering the field as well as for ongoing training. The Early Learning Division pays for interpreting services. Child care resource and referral programs work to provide appropriate methods of communication to ensure full participation, as well as ADA accommodations. The Early Learning Division's Access and Outreach committee developed a guidance document on ADA laws as it pertains to adults attending training. This document is used as a guidance tool statewide with early learning

programs and partners that provide training in the system.

6.2.4 Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians and Native Hawaiians (98.44(b)(2)(iii--iv)).

The State's training requirements give direction on type of training but not specific training titles (except for Safety Set classes including First Aid, CPR, Recognizing and Reporting Child Abuse and Neglect, and Food Handler's Certification and the Introduction to Child Care Health and Safety). This allows child care providers to fulfill the requirements while concentrating on a specific age group such as school age, or a topic of need or interest such as guidance and discipline. The child care resource and referral system lists the relevant age group for each training and core knowledge category. The Introduction to Child Care Health and Safety, Recognizing and Reporting Child Abuse and Neglect, and Early Learning Guidelines trainings are free online trainings provided in multiple languages. Through grant contracts with the CCR&Rs, training is available throughout the state during times and at locations that meet child care providers' training needs. These include content areas that provide knowledge and skills for caring for children receiving subsidies, different age groups, children with developmental delays and disabilities and children who are English-learners. As Oregon's professional development delivery system, the CCR&Rs trainings are culturally, linguistically and developmentally responsive in both content and instruction, and offer adult learning practices in theory and application. The child care resource and referral programs are a training resource to early learning programs in all geographic areas in Oregon, including tribal programs and license exempt providers who accept child care subsidy payment, with concentration on access for English language learners or training in other languages. All standardized trainings adopted by the State are developed in multiple languages. The ongoing training requirements for licensing provides a good framework for early learning educators to take the training that best fits their professional development needs for

their environments, children in care, or program goals. Early learning caregivers are required to take a minimum of their required training in child development and/or early childhood care and education. This is to ensure that the workforce is taking ongoing training concentrating on the developmental needs of the child, the child's environment and curriculum. Additionally, the Inclusive Child Care Program works individually with early learning educators caring for children with special needs. The Inclusive Child Care Program staff go on site to observe and offer technical assistance. The Inclusive Child Care Program staff person also makes arrangements to have one on one conversations and gives instruction regarding the best path and adaptation for the child in that environment. Inclusive Child Care Program is also available for phone consultations, and technical assistance for both parents and providers.

Effective Date: 10/01/2018

6.2.5 The Lead Agency must provide training and technical assistance to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).

Effective Date: 10/01/2018

a) Describe the state/territory's training and TA efforts for providers in identifying and serving homeless children and their families (relates to question 3.2.2).

Oregon has a self-study training opportunity "Serving Families Experiencing Homelessness." The goal of the training is to help early learning professionals identify and serve families experiencing homelessness or other difficult times.

b) Describe the state/territory's training and TA efforts for Lead Agency (or designated entity) staff in identifying and serving children and their families experiencing homelessness (connects to question 3.2.2).

The Early Learning Division works with the McKinney Vento program coordinator at the Oregon Department of Education and the liaisons in each school district. Staff members of the Lead Agency, the Department of Human Services and school district

liaisons are made aware of the self-study "Serving Families Experiencing Homelessness". The McKinney Vento program coordinator participates in engagement efforts and presents to early learning audiences on request.

6.2.6 States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)). Describe how the state/territory ensures that all providers for children receiving CCDF funds are informed and trained regarding CCDF requirements and integrity (98.68(a)(3)). Check all that apply

Effective Date: 10/01/2018

- Issue policy change notices
- Issue new policy manual
- Staff training
- Orientations
- Onsite training
- Online training
- Regular check-ins to monitor the implementation of CCDF policies

Describe the type of check-ins, including the frequency.

Other

Describe:

6.2.7 Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16 (z)). Describe the state/territory's strategies to strengthen provider's business practices, which can include training and/or TA efforts.

Effective Date: 10/01/2018

a) Describe the strategies that the state/territory is developing and implementing for training and TA.

Both Oregon's Professional Development System and Spark (Oregon's QRIS)

support quality business practices in child care programs. Oregon has an intensive training series, **Building a Business for Certified Family Child Care** programs offering 60 hours in program management and align with Spark. This training series provides intensive training and coaching on policies, handbooks, contracts, staffing, accounting and compliance with local laws, to support their small businesses. In addition, the child care resource and referral system provides training and technical assistance to child care businesses on business practices. Trainings are held in multiple languages across the state, including Spanish, Russian, Vietnamese, Chinese, and English. Trainings are also held in both urban and rural settings and are designed for different levels. The child care resource and referral system is organizing Oregon's first statewide business summit for child care providers. The summit includes several training sessions on relevant and necessary business practices and is open to all child care providers. Providers participating in Spark have access to business related resources through a shared services website hosted by the child care resource and referral system. Quality Improvement Specialists within each child care resource and referral program work to support child care programs in the Administration and Business Practices domain of Spark while working through their portfolio. Cohorts of providers through the state's focused child care networks are also supported with training and consultation to improve business practices.

The Oregon Center for Career Development administers three credentials - the Infant Toddler Professional Credential, the School Age Credential, and the Director Credential. Oregon also participates in the Partnership for Preschool Improvement through a grant award from the Ounce of Prevention. These funds provide consultation and technical assistance and peer learning opportunities with three other states for preschool improvement. Through this partnership, Oregon has launched a Lead, Learn, Excel cohort for system leaders, professional development providers and instructional Leaders. This builds the capacity of the Quality Improvement Specialists within the child care resource and referral programs to offer more support and coaching. A second cohort will be launched in late 2018. Spark has an Administrative and Business practice standard domain which is tiered towards an increasing number and depth of best practices for child care businesses.

b) Check the topics addressed in the state/territory's strategies. Check all that apply.

- Fiscal management
- Budgeting
- Recordkeeping
- Hiring, developing, and retaining qualified staff
- Risk management
- Community relationships
- Marketing and public relations
- Parent-provider communications, including who delivers the training, education, and/or technical assistance
- Other

Describe:

Policy and procedure writing, tax preparation, basic computer skills, business philosophy, ethics, professional conduct, equity, child care contract development, legal issues in child care, increasing quality in child care settings.

In Spark, income, expense, and tax records, budget and planning, personnel policies, professional space, personnel performance, self-assessment, and adult-child interactions, staff positive working relationships, membership in professional organizations, and comprehensive program evaluation.

6.3 Early Learning and Developmental Guidelines

6.3.1 States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, birth-to-five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. Note: States and

territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.

Effective Date: 10/01/2018

a) Describe how the state/territory's early learning and developmental guidelines are research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with kindergarten entry

The Oregon Early Learning Council adopted the Head Start Early Learning Outcomes Framework: Ages Birth to Five as Oregon's early learning standards. These guidelines present five broad areas of early learning, referred to as central domains. These domains reflect research-based expectations for learning and development. The framework is designed to show the continuum of learning for infants, toddlers, and preschoolers. It is grounded in comprehensive research on what young children should know and be able to do during their early years in order to be successful entering kindergarten. The Head Start Early Learning Outcomes Framework emphasizes the key skills, behaviors, and knowledge that programs must foster in children ages birth to five to help them be successful in school and life. A core guiding principle for school readiness is that every child has diverse strengths rooted in their family's culture, background, language, and beliefs. Responsive and respectful learning environments welcome children from diverse cultural and linguistic backgrounds. Effective teaching practices and learning experiences build on the unique backgrounds and prior experiences of each child.

b) Describe how the state/territory's early learning and developmental guidelines are appropriate for all children from birth to kindergarten entry.

The Head Start Early Learning Outcomes Framework emphasizes the key skills, behaviors, and knowledge that programs must foster in children ages birth to five to help them be successful in school and life. The effective practice guides provide information about domain-specific teaching practices that support children's progression within the Early Learning Outcomes Framework developmental domains. The guides describe teaching practices, show practices in early learning settings (including home-based), and offer a framework for reflection on and improvement of effective teaching practices.

c) Verify by checking the domains included in the state/territory's early learning and developmental guidelines. Responses for "other" is optional

- Cognition, including language arts and mathematics
- Social development
- Emotional development
- Physical development
- Approaches toward learning
- Other

Describe:

d) Describe how the state/territory's early learning and developmental guidelines are implemented in consultation with the educational agency and the State Advisory Council or similar coordinating body.

The Oregon Early Learning Council adopted the Head Start Early Learning Outcomes Framework: Ages Birth to Five as Oregon's early learning standards. The Oregon Early Learning Guidelines are implemented through training to the early learning workforce in an online format. These guidelines inform training development and professional development pathways for child care providers. The central domains of the Early Learning Guidelines align to the state's core knowledge categories which were created by the Oregon Center for Career Development with feedback, consultation, and workgroups of the state's cross sector professional development groups.

e) Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates

The Oregon Early Learning Guidelines are presented as training to the early learning workforce in an online format. All changes to the structure and content of this training are captured through the contract with the Oregon Center for Career Development. Oregon only makes changes to the early learning guidelines when the Office of Head Start makes changes. Since Oregon adopted these guidelines after the Office of Head Start revised and updated their standards, Oregon does not anticipate changes in the near future.

f) If applicable, discuss the state process for the adoption, implementation and continued improvement of state out-of-school time standards

N/A

g) Provide the Web link to the state/territory's early learning and developmental guidelines.

<https://eclkc.ohs.acf.hhs.gov/interactive-head-start-early-learning-outcomes-framework-ages-birth-five> Oregon's Training on the Early Learning Standards can be found here: <http://campus.educadium.com/OCCD/>

6.3.2 CCDF funds cannot be used to develop or implement an assessment for children that:

- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF,
- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider,
- Will be used as the primary or sole method for assessing program effectiveness,
- Will be used to deny children eligibility to participate in the CCDF (658E(c)(2)(T)(ii)(I); 98.15(a)(2)).

Describe how the state/territory's early learning and developmental guidelines are used.

The guiding principles of the framework are fundamental of Head Start programs. The policies and practices that prepare young children for success in school and beyond are contained within the framework. The Oregon Early Learning Standards guides the selection of research-based curriculum and offers an assessment tool to guides the selection of valid, reliable, and useful assessments of children's progress. A developmental checklist describes skills, behaviors, and knowledge that indicate children are developing and learning. Oregon's early learning standards are used by programs to guide choices in curriculum and learning materials, plan daily activities and experiences, and inform quality interactions and intentional teaching practices. Spark program standards have also been cross walked and aligned with the Early

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Fund program expenditures for activities designed to improve the quality of child care services and to increase parental options for and access to high-quality child care (98.53). The quality activities should be aligned with a statewide or territory-wide assessment of the state's or territory's need to carry out such services and care. States and territories are required to report on these quality improvement investments through CCDF in three ways:

1. In the Plan, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).
2. ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696). This report will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).
3. For each year of the Plan period, states and territories will submit a separate annual Quality Progress Report that will include a description of activities to be funded by quality expenditures and the measures used by the state/territory to evaluate its progress in improving the quality of child care programs and services within the state/territory (658G(d); 98.53(f)).

States and territories must fund efforts in at least one of the following 10 activities:

- Supporting the training and professional development of the child care workforce
- Improving on the development or implementation of early learning and developmental guidelines
- Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services

- Improving the supply and quality of child care programs and services for infants and toddlers
- Establishing or expanding a statewide system of child care resource and referral services
- Supporting compliance with state/territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 5)
- Evaluating the quality of child care programs in the state/territory, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Performing other activities to improve the quality of child care services, as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten entry are possible.

Throughout this Plan, states and territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, quality set-aside funds and will describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services for each expenditure (98.53(f)) These activities can benefit infants and toddlers through school age populations.

This section covers the quality activities needs assessment and quality improvement activities and indicators of progress for each of the activities undertaken in the state or territory.

7.1 Quality Activities Needs Assessment for Child Care Services

7.1.1 Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment (658G(a)(1); 98.53(a)).

The Early Learning Division systematically assesses multiple quality activities:

Assessment #1: Early Learning Educators who leave the field: Why do early learning educators leave the field? (quarterly); How many leave the field? (annually).

Assessment # 2: Early Learning Educators participating on the Oregon Registry: How great is the growth or decrease? (quarterly); Where is the growth or decrease? (quarterly); The number, race, ethnicity and primary languages of early educators on all Oregon Registry steps. (quarterly). Assessment # 3: Parents requesting child care referrals: What type of child care settings are parents requesting? (quarterly). Assessment # 4: Spark (Oregon's Quality Rating and Improvement System) ratings: What are the Spark ratings in each county? (quarterly). Assessment # 5: Child in Spark settings: How many children are in Spark rated programs? (quarterly); How many children whose parents receive CCDF funds are in Spark rated Programs? (quarterly). Assessment # 6: Trainings offered by the CCR&R's: How many trainings are offered in each county? (quarterly); What core knowledge categories are offered to early learning educators? (quarterly); In what languages are these trainings offered? (quarterly); How many participants are attending these trainings? (quarterly).

Effective Date: 10/01/2018

7.1.2 Describe the findings of the assessment and if any overarching goals for quality improvement were identified.

This is a new process and Oregon is gathering baseline information to create targets. The Quality Improvement and Professional Development team is responsible for contracts with the Quality Improvement and Professional Development System partners. These include local child care resource and referral agencies, The Research Institute at Western Oregon University, Portland State University Oregon Center for Career Development, Department of Human Services, the Inclusive Child Care Program and 211info. These data are available through a variety of reports and are currently being systemized to track quarterly and measure the health and progress of the Quality Improvement and Professional Development system. The overarching goals are to align quality improvement efforts throughout the state, promote a culture of continuous quality improvement and ensure the system is adequately supported to respond to quality improvement needs in order to build a culturally and linguistically responsive supply of high quality child care. The first step is to gather a baseline in each of these assessments and then determine sub-goals for each one. This will

inform team and contractor activities to effectively strengthen continuous quality improvement in child care and education.

Effective Date: 10/01/2018

7.2 Use of Quality Funds

7.2.1 Check the quality improvement activities in which the state/territory is investing

Effective Date: 10/01/2018

- Supporting the training and professional development of the child care workforce. If checked, respond to section 7.3 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

The Ford Family Foundation supports a pilot project in Southern Oregon: the Early Learning Professional Development Consortium. The purpose is to provide opportunities for Early Educators to earn college credits, certificates and degrees in Early Childhood Education.

- Developing, maintaining, or implementing early learning and developmental guidelines. If checked, respond to section 6.3 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

- Developing, implementing, or enhancing a tiered quality rating and improvement system. If checked, respond to 7.4 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.5 and indicate which funds will be used for this activity. Check all that apply

CCDF funds

Other funds

Describe:

Establishing or expanding a statewide system of CCR&R services, as discussed in 1.7. If checked, respond to 7.6 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Focused Child Care Networks are funded in part by State General Funds; The Ford Family Foundation funds Dual Language Learners training and a Train the Trainer to deliver this training throughout the state. Betty Grey Foundation funds cohort training for Early Educators; The Ford Family Foundation funds Early Educators cohorts through the Higher Education System to obtain college credits, certificates and degrees.

Facilitating compliance with state/territory requirements for inspection, monitoring, training, and health and safety standards (as described in section 5). If checked, respond to 7.7 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Evaluating and assessing the quality and effectiveness of child care services within the state/territory. If checked, respond to 7.8 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Supporting accreditation. If checked, respond to 7.9 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. If checked, respond to 7.10 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Other activities determined by the state/territory to improve the quality of child care services and which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry is possible. If checked, respond to 7.11 and indicate which funds will be used for this activity. Check all that apply

CCDF funds

Other funds

Describe:

State General Funds.

7.3 Supporting Training and Professional Development of the Child Care Workforce With CCDF Quality Funds

Lead Agencies can invest in the training, professional development, and post-secondary education of the child care workforce as part of a progression of professional development activities, such as those included at 98.44 in addition to the following (98.53(a)(1)).

7.3.1 Describe how the state/territory funds the training and professional development of the child care workforce

Effective Date: 10/01/2018

a) Check and describe which content is included in training and professional development activities and describe who or how an entity is funded to address this topic. Check all that apply.

- Promoting the social, emotional, physical, and cognitive development of children, including those efforts related to nutrition and physical activity, using scientifically based, developmentally appropriate, and age-appropriate strategies

Describe:

CCDF Funds support the Early Learning Division's contract with the Oregon Center for Career Development at Portland State University to maintain the state's online training, Oregon's Early Learning Standards. The Head Start Early Learning Outcomes Framework: Ages Birth to Five was adopted by the Oregon Early Learning Council as Oregon's early learning standards. These standards describe the skills, behaviors, and knowledge programs must foster in all children.

- Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health and that reduce challenging behaviors, including a reduction in expulsions of preschool-age children from birth to age five for such behaviors. (See also section 2.5.)

Describe:

Through an Early Learning Division contract funded by CCDF, Oregon revised an earlier standardized training on social emotional development to include more information on supporting children's social emotional development through culturally responsive practices. The current training is called Supporting Children's Social and Emotional Development Birth - 5. The Oregon Center for Career Development conducted a Train the Trainer for 24 new trainers and provided a refresher on the newer curriculum to current trainers. The training is available in English, Spanish, Russian, Vietnamese and Chinese and focuses on the social and emotional development from the perspective of the child's culture within their family and family involvement. This training is 10

hours.

- Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development

Describe:

- Implementing developmentally appropriate, culturally and linguistically responsive instruction, and evidence-based curricula and designing learning environments that are aligned with state/territory early learning and developmental standards.

Describe:

Oregon has two groups that are focusing on recruiting, training, and retaining culturally and linguistically diverse trainers to provide training in the home language of the early learning educators. The Growing Master Trainers is funded by a private public partnership called the Funders Circle coordinated by the Oregon Children's Foundation. The Impact project is coordinated by the Early Learning Division using CCDF funds and provides technical assistance from the Child Care State Capacity Building Center.

- Providing onsite or accessible comprehensive services for children and developing community partnerships that promote families' access to services that support their children's learning and development

Describe:

The Inclusive Child Care Program preserves access to child care settings for children with varied abilities. The program stewards inclusive practices by supporting child care providers in their work with children with specialized needs and their families through consultation, technical assistance and training. The Inclusive Child Care Program serves as a statewide resource for recommended practices, materials and information to all interested parties funded by CCDF through an Early Learning Division contract with the Department of Human Services.

- Using data to guide program evaluation to ensure continuous improvement

Describe:

- Caring for children of families in geographic areas with significant concentrations of poverty and unemployment

Describe:

- Caring for and supporting the development of children with disabilities and developmental delays

Describe:

The Inclusive Child Care Program preserves access to child care settings for children with varied abilities. It stewards inclusive practices by supporting child care providers in their work with children with specialized needs and their families through consultation, technical assistance and training. The Inclusive Child Care Program serves as a statewide resource for recommended practices, materials and information to all interested parties through an Early Learning Division contract with Oregon Department of Human Services using CCDF funds. Additionally, Core Knowledge Categories include Diversity and Special Needs with trainings designed with this focus. Portland State University Oregon Center for Career Development manages the development of standardized curricula and approval of trainings in the Core Knowledge Categories through an Early Learning Division contract with CCDF funds.

- Supporting the positive development of school-age children

Describe:

The Early Learning Division funds a position housed at the Oregon Center for Career Development using CCDF funds to focus on school age coordination, training, and other professional development opportunities.

- Other

Describe:

The Early Learning Division has several assets that promote the professional development of the early learning workforce. The Early Learning Division, using CCDF funding, supports a program at Mt. Hood Community College. A group of diverse early learning educators have the opportunity to earn a Child Development Credential (CDA), while strengthening their skills in reading,

writing and speaking English. The Southern Oregon Early Learning Professional Development Consortium Project (SOELPDC), collaborative partnership funded by The Ford Family Foundation, provides Early Childhood Education relevant classes and educational pathways to obtain higher education credentials, certificates and degrees across three community colleges and one university. Classes align with the Core Knowledge Categories and support advancement on the Oregon Registry and Spark ratings. Classes, materials and instruction are provided in diverse languages to meet the needs of the Early Educators. The Oregon Association for the Education of Young Children provides college credit opportunities for Building a Business (6 quarter credits) and 1 quarter credit option at a two-day conference.

b) Check how the state/territory connects child care providers with available federal and state/territory financial aid or other resources to pursue post-secondary education relevant for the early childhood and school-age workforce. Check all that apply

- Coaches, mentors, consultants, or other specialists available to support access to post-secondary training, including financial aid and academic counseling
- Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-secondary education opportunities
- Financial awards, such as scholarships, grants, loans, or reimbursement for expenses, from the state/territory to complete post-secondary education
- Other

Describe:

7.3.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

Monthly reports are delivered to the Early Learning Division on Oregon Registry Workforce progress and Spark participation. Quarterly reports are submitted to the Early Learning Division on more in-depth measures of quality from the Oregon Center For Career Development, The Research Institute at Western Oregon University,

Oregon ASK and the child care resource and referral system programs. Indicators of progress are: An increase in the number of early learning educators who complete the Oregon Early Learning Guidelines training by 25% as of 6/30/19; Increase the number of trainers who can train in languages other than English and who have advanced training submitted for approval by 45% as of 6/30/19; Increase number of active professionals, attached to facilities who have achieved an Oregon Registry Step 3 or higher by 7% as of 6/30/19.; Increase number of trainers at all levels who reflect the diverse needs of their communities across all areas of Oregon by 15% as of 6/30/19.

Effective Date: 10/01/2018

7.4 Quality Rating and Improvement System (QRIS)

Lead Agencies may respond in this section based on other systems of quality improvement, even if not called a QRIS, as long as the other quality improvement system contains the elements of a QRIS. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

7.4.1 Does your state/territory have a quality rating and improvement system or other system of quality improvement?

Effective Date: 10/01/2018

- No, but the state/territory is in the QRIS development phase. If no, skip to 7.5.1.
- No, the state/territory has no plans for QRIS development. If no, skip to 7.5.1.
- Yes, the state/territory has a QRIS operating statewide or territory-wide

Describe how the QRIS is administered (e.g., statewide or locally or through CCR&R entities) and any partners and provide a link, if available.

Oregon's QRIS, Spark, is a statewide program administered through several contracting agencies. The support component is administered primarily through the child care resource and referral system. The standards, monitoring, program incentives, and process are administered through The Research Institute at Western Oregon University. The professional development system and workforce incentives are administered through Portland State University's Oregon Center for Career Development. The Department of Human Services administers Provider Incentive Payments to star rated programs in addition to the regular subsidy reimbursement rates. <http://trouw.org/projects/qris>

- Yes, the state/territory has a QRIS initiative operating as a pilot-test in a few localities or only a few levels but does not have a fully operating initiative on a statewide or territory-wide basis.

Provide a link, if available.

- Yes, the state/territory has another system of quality improvement

If the response is yes to any of the above, describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.

Data are collected quarterly on the following indicators: # of Spark rated programs in each county; # of children in Spark rated programs; # of children whose parents receive CCDF funds in Spark rated programs.

7.4.2 QRIS participation

Effective Date: 10/01/2018

a) Are providers required to participate in the QRIS?

- Participation is voluntary

Participation is mandatory for providers serving children receiving a subsidy. If checked, describe the relationship between QRIS participation and subsidy (e.g., minimum rating required, reimbursed at higher rates for achieving higher ratings, participation at any level).

Participation is required for all providers.

b) Which types of settings or distinctive approaches to early childhood education and care participate in the state/territory's QRIS? Check all that apply

- Licensed child care centers
- Licensed family child care homes
- License-exempt providers
- Early Head Start programs
- Head Start programs
- State prekindergarten or preschool programs
- Local district-supported prekindergarten programs
- Programs serving infants and toddlers
- Programs serving school-age children
- Faith-based settings
- Tribally operated programs
- Other

Describe:

Accredited programs: Oregon has worked with nationally accredited programs to create a crosswalk of the accreditation standards with QRIS standards. The crosswalks are meant to honor the work, improvements, and standards that the programs have achieved through other accreditation to help facilitate participation and success on the QRIS.

7.4.3 Support and assess the quality of child care providers.

The Lead Agency may invest in the development, implementation, or enhancement of a tiered quality rating and improvement system for child care providers and services. Note: If a Lead Agency decides to invest CCDF quality dollars in a QRIS, that agency can use the funding to assist in meeting consumer education requirements (98.33). If the Lead Agency has a QRIS, respond to questions 7.4.3 through 7.4.6.

Do the state/territory's quality improvement standards align with or have reciprocity with any of the following standards?

Effective Date: 10/01/2018

- No
- Yes. If yes, check the type of alignment, if any, between the state/territory's quality standards and other standards. Check all that apply.
 - Programs that meet state/territory preK standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between preK programs and the quality improvement system) .
 - Programs that meet federal Head Start Program Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between Head Start programs and the quality improvement system).
 - Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, an alternative pathway exists to meeting the standards).
 - Programs that meet all or part of state/territory school-age quality standards.
 - Other.

Describe:

7.4.4 Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?

Effective Date: 10/01/2018

- No
- Yes. If yes, check any links between the state/territory's quality standards and licensing requirements
 - Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.
 - Embeds licensing into the QRIS

- State/territory license is a "rated" license
- Other.

Describe:

Early Learning Division is creating an "Alternative Pathway" so license exempt programs run by public school districts can demonstrate they are meeting foundational health, safety, and program standards without licensure. Public school districts in Oregon are exempt from licensing.

7.4.5 Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS

Effective Date: 10/01/2018

- No
- Yes. If yes, check all that apply
 - One time grants, awards, or bonuses.
 - Ongoing or periodic quality stipends
 - Higher subsidy payments
 - Training or technical assistance related to QRIS.
 - Coaching/mentoring.
 - Scholarships, bonuses, or increased compensation for degrees/certificates
 - Materials and supplies
 - Priority access for other grants or programs
 - Tax credits (providers or parents)
 - Payment of fees (e.g., licensing, accreditation)
 - Other

Describe:

One time awards for meeting specific milestones on the Oregon Registry (career lattice "Steps").

7.4.6 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

Oregon tracks Spark participation by type of care setting, geographic area, workforce make up, race and ethnicity data for children on CCDF, Classroom Assessment (CLASS) scores, family engagement, and child engagement. Oregon has invested in specific, targeted technical assistance to ensuring participation of providers in a variety of settings, including accredited programs, Head Start, Oregon Prekindergarten, and school age programs. Oregon has conducted two validation studies and a process evaluation to inform continuous quality improvement of Spark. Revisions are in process to implement indicated improvements. Specifically, Oregon collects monthly data, statewide and by county, of the three types of licensed programs and Head Starts, including participation at all five Spark tiers. Quarterly, Oregon collects child level data of children receiving care subsidy in Spark programs by race and ethnicity.<http://triwou.org/projects/qris/resources>

Effective Date: 10/01/2018

7.5 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

Lead Agencies are encouraged to use the needs assessment to systematically review and improve the overall quality of care that infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers, the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care, including any partnerships or coordination with Early Head Start and IDEA Part C programs. Lead Agencies are required to spend 3 percent of their total CCDF expenditures on activities to improve the supply and quality of their infant and toddler care. This is in addition to the general quality set-aside requirement.

7.5.1 What activities are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe

Effective Date: 04/01/2020

- Establishing or expanding high-quality community- or neighborhood-based family and child development centers. These centers can serve as resources to child care providers to improve the quality of early childhood services for infants and toddlers from low-income families and to improve eligible child care providers' capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families

Describe:

- Establishing or expanding the operation of community- or neighborhood-based family child care networks.

Describe:

Oregon has and will continue to invest in focused family child care networks across the state, focused on increasing quality with a framework of Oregon's QRIS, Spark. The network providers receive enhanced training, technical assistance, and support funds geared towards increasing quality and Spark ratings. Each community has identified targeted neighborhood or populations to encourage participation of providers serving children furthest from opportunity in those communities. In addition, child care resource and referral programs support connections to play and learn groups at schools and other community locations as a resource for providers serving infants and toddlers.

- Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers

Describe:

Child care resource and referral programs provide training on best practices for infants and toddlers and support focused cohort trainings specifically on infant and toddler care. Providers engaged in focused family child care networks receive intensive technical support to improve the outcomes for all of the unique children in their care including infants and toddlers. Child care resource and referral programs offer business management and financial strategies on infant care. Spark (Oregon's QRIS) specifically

requires addressing the needs of infant and toddlers including environment, curricula, and adult child interaction. Training on the Ages and Stages Questionnaire and safe sleep, and Child Development Associate cohorts in partnership with Head Start, support increasing knowledge and awareness of developmentally appropriate practices for infants and toddlers. The Oregon Center for Career Development in Childhood Care and Education administers and maintains several standardized curricula. First Connections: Infant & Toddler Development and Care curriculum has 20 sessions for 61 hours of training related to infant and toddler development.

The Oregon Center for Career Development also provides an Infant Toddler credential to recognize professional knowledge, skills, and achievements toward strengthening infant and toddler practice. Oregon has an infant mental health endorsement to recognize and document the development of infant and family professionals across various levels of infant toddler service providers.

Lastly, in April of 2020 Oregon will have 30 trainers complete the ZERO TO THREE Critical Competencies Training of Trainers. This opportunity will provide comprehensive trainings for providers in English and Spanish (translated materials available late 2020) to addresses the three core learning areas that best support infants' and toddlers' growth: social-emotional, cognitive, and language and literacy. Trainers attending the ZTT Critical Competencies TOT are all connected to their local CCR&Rs and signed an agreement to offer training opportunities locally. Staff at the ELD have already processed ZTT Critical Competencies training materials through the Oregon Registry and worked with ZTT to obtain approval for online virtual trainings during COVID-19. Training opportunities will be offered to any interested educator throughout the state via the CCR&Rs' training calendar and will also be a key component of the Infant and Toddler FCCNs professional development offerings.

[Providing coaching, mentoring, and/or technical assistance on this age group's unique needs from statewide or territory-wide networks of qualified infant-toddler specialists](#)

[Describe:](#)

In each of the CCR&Rs throughout the state, an Infant and Toddler Specialist has been hired to support increasing the number of high quality infant-toddler programs. Utilizing the ZERO TO THREE Critical Competencies Specialists are engaging early educators in providing relational, responsive care for infants and toddlers. Coaching is embedded in the Infant/Toddler Mental Health Credential program. Coaching, training, and

consultation on supporting infants and toddlers with special needs is available for parents, providers and child care resource and referral staff in partnership with the Inclusive Child Care Program.

- Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.).

Describe:

Child Care Resource and Referral programs work in partnership with the Early Learning Hubs to coordinate referrals to early intervention for services under Part C of the Individuals with Disabilities Education Act.

- Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments

Describe:

Spark program standards are inclusive of all age groups and program types. In quality improvement and rating, programs must demonstrate practices and submit evidence for each age group. For example, programs must submit curricula used, materials, and CLASS scores for all ages, including infants and toddlers. Spark also utilizes the Ages and Stages Questionnaire. Revisions to Spark will include continuous quality improvement efforts specific to infants and toddlers.

- Developing infant and toddler components within the state/territory's child care licensing regulations

Describe:

The Early Learning Division's Office of Child Care licensing regulations contain specific rules to address health and safety for regulated programs caring for infants and toddlers. This includes rules on program of activities, diapering, eating, breastfeeding, sleeping, hand washing, sanitation, ratios, age appropriate environments, materials and equipment. In addition, those working with infants and toddlers are required to have additional age specific training.

- Developing infant and toddler components within the early learning and developmental guidelines

Describe:

The Oregon Early Learning Standards are the same as the Head Start Early Learning Outcomes Framework: Ages Birth to Five. A two hour online training on the guidelines is offered in English and Spanish.

- Improving the ability of parents to access transparent and easy-to-understand consumer information about high-quality infant and toddler care that includes information on infant and toddler language, social-emotional, and both early literacy and numeracy cognitive development

Describe:

Many child care resource and referral programs partner with local parenting agencies to hold trainings, and "play and learn" groups, specifically to provide parents and providers with information and modeling of age appropriate activities for infants and toddlers. The Early Learning Division and the child care resource and referral system are creating a shared database of infant and toddler resources designed to ensure consistent materials and information are shared with providers and parents. The concept is to have readily accessible resources for use by licensors and the child care resource and referral system. The information can then be disseminated through a variety of modalities including child care resource and referral newsletters, parenting hubs, and websites. Provider orientations also include resources that can be shared with parents on infant and toddler care. These resources include topics such as safe sleep for babies, poison prevention and healthy weight and development. The 211info Child Care Line provides consumer education on quality indicators, including infant and toddler resources specific to the parent needs during child care referral requests.

- Carrying out other activities determined by the state/territory to improve the quality of infant and toddler care provided within the state/territory and for which there is evidence that the activities will lead to improved infant and toddler health and safety, cognitive and physical development, and/or well-being

Describe:

- Coordinating with child care health consultants.

Describe:

Coordinating with mental health consultants.

Describe:

Other

Describe:

7.5.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures

Through performance based contracts and federal monitoring of the Early Head Start-Child Care partnership grants, multiple data points are available to determine how these activities affect the supply and quality of infant and toddler care. Data on the increased number of providers who serve infants and toddlers are reviewed quarterly with child care resource and referral programs by region. The Early Learning Division measures the number of early learning individuals who complete the safe sleep training from the Early Learning Division. Demographics of participation of the early learning workforce are tracked in each of these areas: The Oregon Registry Steps Education Awards; as trainers and as trainers with approved advanced training in the system; completion of CCDF required trainings offered online at OCCD: Introduction to Health and Safety, RRCAN, Department of Human Services Providers Requirements (CCDF Providers), and Oregon Early Learning Guidelines; maintaining a myORO account, which tracks their professional development. The ORO Training Calendar tracks the number of trainings provided by core knowledge category and language, age group; number of advanced trainings offered, and number of participants in the trainings.

Effective Date: 10/01/2018

7.6 Child Care Resource and Referral

A Lead Agency may expend funds to establish or expand a statewide system of child care resource and referral services (98.53(a)(5)). It can be coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private non-profit, community-based, or regionally based lead child care resource and referral organization (658E(c)(3)(B)(iii)). This effort may include activities done by local or regional child care and resource referral agencies, as discussed in section 1.7.

7.6.1 Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The following data are reviewed quarterly to evaluate progress in improving quality and to inform decision making: if and why providers left the field; workforce movement on the Oregon Registry Online step (education level); type of care requested by parents; Spark rating movement; number of programs accepting subsidy; number, attendance, variety and level of training; provider, parent and partner satisfaction surveys.

Effective Date: 10/01/2018

7.7 Facilitating Compliance With State Standards

7.7.1 What strategies does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory requirements for inspection, monitoring, training, and health and safety and with state/territory licensing standards? Describe:

Oregon invests CCDF quality funds through a number of mechanisms to facilitate

compliance with child care health and safety requirements. The child care resource and referral system offers an overview course for family child care homes designed to orient providers to the rules and to provide extensive resource information. Oregon's Office of Child Care licenses programs, monitors and provides technical assistance and customer service to registered family and certified family child care home providers to assist in navigating the requirements. Licensing specialists conduct pre-certification visits for prospective child care center facilities to guide compliance with state and federal requirements. Orientations are required of all caregivers hired in certified family and certified center facilities. This includes completion of designated health and safety training and orientation to child care licensing rules. The child care resource and referral system and the Center for Career Development offer and track training requirements for all licensed and Regulated Subsidy child care providers. Oregon uses the research-based differential monitoring system in licensing in an effort to allocate more resources to programs that may have difficulty meeting standards. The Oregon Center for Career Development operates the Oregon Registry Online Training Calendar which aides early learning educators to easily locate classes in any county by topic, age group, date, etc. to find professional development to be used for licensing, the Oregon Registry, or Spark requirements. The Oregon Center for Career Development operates free training on health and safety (5 languages), Recognizing and Reporting Child Abuse and Neglect (5 languages), and the Early Learning Guidelines. Spark integrates licensing compliance into its requirements, standards, and monitoring for rating and participation.

Effective Date: 10/01/2018

7.7.2 Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?

Effective Date: 10/01/2018

No

Yes. If yes, which types of providers can access this financial assistance?

- Licensed CCDF providers
- Licensed non-CCDF providers
- License-exempt CCDF providers
- Other

Describe:

7.7.3 Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

Contractor reports for child care resource and referral services and for training and professional development services provide quarterly measurements on the locations and number of providers who attended all trainings including health and safety and other required trainings. The Office of Child Care collects quarterly reports on progress of the early learning activities. These reports are measured against each quarter so that increase or decrease of activities can be viewed. Activities include: number of participants completing the Oregon Center for Career Development's online trainings including the number of CCDF providers that have completed the Department of Human Services provider requirements online training; number of culturally and linguistically diverse early learning educators who have Set Two/Three trainings approved in the trainer program; numbers of approved trainers including their race, ethnicity and languages they train in; the number, race, and ethnicity and primary languages of early educators on all Oregon Registry Steps of the Career Lattice; number of Set Two/Three (intermediate and advanced) trainings available on the Oregon Registry Online Training calendar; the number of trainings offered and the languages in which they are offered.

Effective Date: 10/01/2018

7.8 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.8.1 Describe how the state/territory measures the quality and effectiveness of child care programs and services in both child care centers and family child care homes currently being offered, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children

Using Spark as a framework, Oregon now has a consistent way to evaluate the quality of programs. There are a number of tools for measuring quality and effectiveness including family surveys, child screening and assessments, Classroom Assessments (CLASS) of adult-child interaction in settings, and family and child engagement measures. Oregon also has a professional development registry with 12 steps of achievement in educational attainment used to measure the workforce. Oregon's Early Learning Guidelines are cross-walked to the K-12 Common Core Standards. The Oregon Kindergarten Entry Assessment will serve as an evaluative measure of the quality and effectiveness of early care and education services over time as aggregate and some child level data can be tied to child care programs.

Effective Date: 10/01/2018

7.8.2 Describe the measureable indicators of progress relevant to this use of funds that the State/Territory will use to evaluate its progress in improving the quality of child care programs and services in child care centers and family child care homes within the state/territory and the data on the extent to which the state or territory has met these measures

Oregon measures progress in improving the quality of child care programs via Spark data. Spark reports monthly on the numbers of participating and star rated programs, as well as numbers of children. Spark quarterly reports include results on the

numbers of children receiving child care subsidies in star rated programs. Through these reports, Oregon has been able to document increasing number of “quality programs.” <http://triwou.org/projects/qris/resources>. In addition, Oregon’s Professional Development Registry provides monthly reports of early educators’ step levels. This report also indicates increased levels of participation and growth of training and experience of Oregon’s early learning workforce. <https://www.pdx.edu/occd/steps-credentials-oro/#Report>

Effective Date: 10/01/2018

7.9 Accreditation Support

7.9.1 Does the state/territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

Effective Date: 10/01/2018

- Yes, the state/territory has supports operating statewide or territory-wide for both child care centers and family child care homes

Describe the support efforts for all types of accreditation that the state/territory provides to child care centers and family child care homes to achieve accreditation

- Yes, the state/territory has supports operating statewide or territory-wide for child care centers only. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers.

Describe:

- Yes, the state/territory has supports operating statewide or territory-wide for family child care homes only. Describe the support efforts for all types of accreditation that the state/territory provides to family child care

Describe:

Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide

Focused on child care centers

Describe:

Focused on family child care homes

Describe:

No, but the state/territory is in the accreditation development phase

Focused on child care centers

Describe:

Focused on family child care homes

Describe:

No, the state/territory has no plans for accreditation development

7.9.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

N/A

Effective Date: 10/01/2018

7.10 Program Standards

7.10.1 Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for infants and toddlers, preschoolers, and/or school-age children

Oregon has adopted program standards through Spark. With input from stakeholders

and specific content experts, the standards have been created to demonstrate high quality for all age groups. Children’s Learning and Development domain identifies standards that are appropriate to ages of children in the program, including learning environments, adult-child interaction, child-initiated activities, materials and curricula. The Health and Safety Domain outlines health activities and nutrition that are age appropriate and Personnel Qualifications domain expects teacher achieve a Step 9 or above (at 5 Star Level) on the Oregon Registry (Oregon’s Career) lattice, which is equivalent to an Associates Degree in the field. Professional Development Systems support achieving Spark ratings through the Oregon Registry’s choice of pathways to advance in steps. Early Educators can choose between 1) Degree, Credential, Certificate, 2) College Course Credit, and 3) College Course Credit and/or Community Based Training pathways. Portland State University’s Oregon Center for Career Development ensures continual professional development options available at the state and local level that represent the 10 Core Knowledge Categories that support advancement on the Oregon Registry and continuous quality improvement. These are foundational trainings for the field and range from Infant/Toddler Care, Social Emotional Development birth – 5, Preschool and School Age Care Trainings. Licensing standards align with Health & Safety standards and licensing visits monitor and guide Early Educators to adopt high-quality standards. Licensing rules also address the requirement to follow the USDA food guidelines. In addition, the social-emotional component is a priority for Oregon as evidenced through its investment in the adult child interaction standard. Oregon is also engaging in a revision process, seeking additional input from specific stakeholders to improve Spark and help ensure Oregon is serving children from diverse communities via the equity lens.

Effective Date: 04/01/2020

7.10.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The Validation Study has measured how the ratings differentiate by tiers. The results

of the study, as well as other factors, have helped determine the need to restructure the standards and tiers.

Effective Date: 10/01/2018

7.11 Early Learning and Development Guidelines and Other Quality Improvement Activities

7.11.1 If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measureable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)).

Oregon's Early Learning Guidelines training is offered on line and maintained by Portland State University's Oregon Center for Career Development through a contract with Early Learning Division funded by CCDF. The number and demographics of early educators completing this training is tracked, maintained and monitored by Portland State University's Oregon Center for Career Development and included in quarterly reports to the Early Learning Division. This information is used to inform progress on accessing and completing the training, its effectiveness and usage. The Quality Improvement Professional Development team will assess and determine the need for revisions and other implementation methods.

Effective Date: 10/01/2018

7.11.2 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities, and also describe the measureable indicators of progress for each activity relevant to this use of

funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry and the data on the extent to which the state or territory has met these measures. Describe:

Oregon has other projects to improve and support the quality of programs. For example, Oregon continues its use of contracted slots programs to serve low-income families in Baby Promise and Head Start Programs who need full day, full year care. The contracted slots provide greater consistency and stability for children and their working parents while supporting the programs to provide consistent, high quality care. Oregon invests through contracts with specific special populations including teen parent, and programs serving children with special needs. Not only are there financial subsidies to support the programs in serving these families, there is also targeted quality improvement fundings and technical assistance to these programs for quality improvement. Oregon is also piloting support of the Teaching Strategies Gold as quality improvement, providing training and technology for programs to use this child assessment. Oregon passed legislation for “Preschool Promise” that expanded Oregon’s ability to equitably serve children with low incomes in quality early learning settings. Preschool Promise builds on Oregon’s PreK programs by serving preschool age children in a variety of settings (e.g., child care centers, family child care homes) that meet specific quality and personnel requirements while seeking to increase the numbers of highly qualified, culturally responsive early learning settings. Finally and perhaps most important, Oregon has adopted an equity lens for all of its education work. Within quality improvement, Oregon has specific guidelines and expectations in the Equity Lens to work and lead with diverse populations and authentic stakeholder engagement and input. These include several questions to pose while developing and implementing systems, programs and services and while allocating resources.

Oregon’s primary focus is serving those populations furthest from opportunity and ensuring institutional barriers are removed, and families receive the supports they need to have equitable access to services and other opportunities for success. Each Early Learning Division contractor has specific equity deliverables built in to their contracts. Oregon has and will continue to invest in focused family child care networks across the state, focused on increasing quality with a framework of Oregon’s QRIS, Spark. The network providers receive enhanced training, technical assistance, and support funds geared towards increasing quality and Spark (QRIS) ratings. Each community has identified targeted neighborhood or populations to encourage participation of providers serving children furthest from opportunity in those communities. In addition, child care resource and referral programs support connections to play and learn groups at schools and other community locations as a resource for providers serving infants and toddlers.

Given that Emergency Child Care providers may face challenges to stay open and reopen during a State of Emergency, the Early Learning Division may develop an Emergency Child Care grant program to retain the supply of Emergency Child Care providers through the State of Emergency and through the disaster recovery period. The Early Learning Division

will utilize these grants to support as many Emergency Child Care providers, including licensed and unlicensed child care providers, as possible and until allocated funds are expended.

Effective Date: 04/01/2020

8 Ensure Grantee Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. Lead Agencies are required to describe in their Plan effective internal controls that ensure integrity and accountability while maintaining the continuity of services (98.16(cc)). These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors.

This section includes topics on internal controls to ensure integrity and accountability and processes in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud. Respondents should consider how fiscal controls, program integrity and accountability apply to:

- Memorandums of understanding within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF
- MOU's, grants, or contracts to other state agencies that administer or carry out various aspects of CCDF
- Grants or contracts to other organizations that administer or carry out various aspects of CCDF such as professional development and family engagement activities
- Internal processes for conducting child care provider subsidy

8.1 Internal Controls and Accountability Measures To Help Ensure Program Integrity

8.1.1 Check and describe how the Lead Agency ensures that all its staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity. Check all that apply:

Effective Date: 10/01/2018

Train on policy manual

Describe:

All new employees charged with eligibility determination, quality assurance, or management of staff members, receive individual or group training on child care subsidy policy through the child care policy unit. Staff are available for clarification and additional training when needed.

Train on policy change notices

Describe:

The Department of Human Services offers training to eligibility and family coach staff through child care policy analysts, Quality Assurance staff, branch office leads as well as through the Department of Human Services Self Sufficiency training Unit. Training may occur on site, on line, or at the Department of Human Services Self Sufficiency Training Unit. Policy change notices are offered through multiple touch points outside of direct training including newsletters and policy transmittals.

Ongoing monitoring and assessment of policy implementation

Describe:

Department of Human Services child care policy analysts are available for staff calls and maintain an email address for staff to contact and discuss policy questions or scenarios. This includes questions regarding policy and follow-up policy change notice clarifications.

Other

Describe:

8.1.2 Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds. Check all that apply:

Effective Date: 04/01/2020

Verifying and processing billing records to ensure timely payments to providers

Describe:

Vouchers are due within 90 days of issuance. All vouchers are reviewed for completeness and potential errors. Payments are typically issued within 4 to 5 business days from the date the completed voucher is received.

Fiscal oversight of grants and contracts

Describe:

The Lead Agency maintains overall control of expenditures by monitoring performance-based Contracts and Agreements for compliance with federal regulations and negotiated performance targets. Contracts and Interagency or Intergovernmental Agreements contain language that requires the contractor to certify that federal and state guidelines are followed. Certification language is included in all contracts executed through both the Department of Human Services and contracted CCR&Rs for Baby Promise for contracted slots and for all Special Populations programs. Lead Agency Contractors are required to submit quarterly or semi-annual performance reports on specific performance indicators. All Contracts that meet Single Audit Act compliance thresholds are required, through contract language, to submit an annual independent audit report. These reports are reviewed to ensure CCDF dollars are clearly identified by CFDA number and there are no major or significant deficiencies regarding the use of those dollars by the sub-recipient.

Tracking systems to ensure reasonable and allowable costs

Describe:

Other

Describe:

8.1.3 Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program. Check all that apply:

Effective Date: 04/01/2020

Conduct a risk assessment of policies and procedures

Describe:

Establish checks and balances to ensure program integrity

Describe:

Approximately 160 vouchers are randomly selected each month for a desk audit by the Department of Human Services. A monthly audit of child care for school age children is conducted for months when school is in session. This audit reviews child care hours billed for school age children to identify improper payments resulting from providers billing for care during the school day. Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity. For Special Populations, a monthly reporting sheet is required to be attached to invoices along with all required ACF 801 data. The Contract Administrator compares the monthly invoice to the amount of hours that a child would normally be in care for Teen Parent and during the spring, summer and fall for migrant and seasonal farm workers.

Random pulls of invoices and requests for documentation to ensure that proper eligibility and determination has been conducted by the contractor. For Baby Promise, monthly payment amounts along with all required ACF 801 data are captured in a database. The ELD will compare monthly payment amounts to sub-contracts with providers to ensure proper payment amounts. For Baby Promise, monthly payment amounts along with all required ACF 801 data are captured in a database. The ELD will compare monthly payment amounts by CCR&Rs to sub-contracts with providers to ensure proper payment

amounts. The ELD and DHS will partner to complete random audits from each of the CCR&Rs to verify payment and eligibility documentation.

Use supervisory reviews to ensure accuracy in eligibility determination

Describe:

Other

Describe:

8.1.4 Lead Agencies conduct a wide variety of activities to fight fraud and ensure program integrity. Lead Agencies are required to have processes in place to identify fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client and/or provider violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition. Check and describe any activities that the Lead Agency conducts to ensure program integrity.

Effective Date: 10/01/2018

a) Check and describe all activities that the Lead Agency conducts to identify and prevent fraud or intentional program violations. Include in the description how each activity assists in the identification and prevention of fraud and intentional program violations. Include a description of the results of such activity.

Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)).

Describe

Investigators conduct joint investigations with the Office of Inspector General, SSA. A cross match of recent Child Welfare reports is made to the active provider base to assure all providers adhere to the Child Welfare requirement to report within 5 days. A Notice of Awareness is leveraged in situations where a failure to report timely did not appear to be an intentional violation. The notice

informs the provider of the requirement.

[Run system reports that flag errors \(include types\).](#)

Describe:

A monthly audit of child care for school age children is conducted for months when school is in session. This audit reviews child care hours billed for school age children to identify improper payments resulting from providers billing for care during the school day. Over number reports are run to identify child care provider who are billing for more children than they are legally allowed.

Attendance logs are requested in order to compare the children's attendance, and review for overlapping periods where more than the legal numbers of children are in care at any given time. The DataMatch Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity. A cross match of recent Child Welfare reports is made to the active provider base to assure that all providers are adhering to the requirement to report any Child Welfare contact within 5 days.

[Review enrollment documents and attendance or billing records](#)

Describe:

The Department of Human Services conducts site visits of randomly selected providers. The visit includes a review of attendance and billing records, health and safety requirements and the Department of Human Services procedures.

[Conduct supervisory staff reviews or quality assurance reviews.](#)

Describe:

The Department of Human Services conducts regular Quality Control Reviews of program eligibility and provides staff with feedback and corrective measures.

[Audit provider records.](#)

Describe:

Approximately 160 billing forms are randomly selected each month for a desk audit by the Department of Human Services. Attendance logs are requested and hours billed are compared against the attendance hours to check for

discrepancies and the appropriate usage of the absent hours. Absent hours must be marked clearly on the attendance logs.

Train staff on policy and/or audits.

Describe:

Accuracy Summits are held once every 2 to 4 years. All staff who process eligibility are required to attend. Training is standardized and delivered in person statewide at various locations over a 2 month period. Trainings are specific to current error trends and policy changes. Direct feedback is provided to staff whose cases are reviewed for Quality Control Reviews. Reviewers discuss any errors, preventative tips and corrective action needed. The Department of Human Services holds a monthly statewide video conference addressing top error cases to inform staff on errors and necessary corrections while discussing best practices and preventative measures. A Child Care Policy email box is available for all staff. Responses to questions are given within 24 hours and include guidance on where to find policy and OAR references, examples and other resources. Responses include coaching.

Other

Describe:

Monthly newsletters such as the On Target and Accuracy in Action are circulated to staff. Skills challenges for intake staff, and Employment Related Day Care staff refreshers based on error trends are offered to assist with ongoing training needs.

b) Check and describe all activities the Lead Agency conducts to identify unintentional program violations. Include in the description how each activity assists in the identification and prevention of unintentional program violations. Include a description of the results of such activity.

Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

A cross match of recent Child Welfare reports is made to the active provider base to assure that all providers are adhering to the requirement to report any

Child Welfare contact within 5 days. A Notice of Awareness is leveraged in situations where a failure to report timely did not appear to be an intentional violation. The notice informs the provider of the requirement.

[Run system reports that flag errors \(include types\).](#)

Describe:

A monthly audit of child care for school age children is conducted for months when school is in session. This audit reviews child care hours billed for school age children to identify improper payments resulting from providers billing for care during the school day. The Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity.

[Review enrollment documents and attendance or billing records](#)

Describe:

The Department of Human Services conducts site visits of randomly selected providers. The visit includes a review of attendance and billing records, health and safety requirements and the Department of Human Services procedures. The Provider Specialist helps to identify risky practices, inform about program requirements and offers best practices and resources to help ensure a good understanding and accurate billing.

[Conduct supervisory staff reviews or quality assurance reviews.](#)

Describe:

Department of Human Services conducts regular Quality Control Reviews of program eligibility and provides staff with feedback and corrective measures. A Child Care Policy email box is available for all staff to send questions through directly to the Child Care Policy Analyst team. The team will review the case against current policies and send a response. Responses are typically sent within a few hours, but are held to a 24 hour standard. Urgent requests are sent to help determine eligibility correctly before certifying a case.

[Audit provider records.](#)

Describe:

Approximately 200 billing forms are randomly selected each month for a desk audit.

Train staff on policy and/or audits.

Describe:

Department of Human Services holds a monthly statewide video conference addressing top error cases to inform staff of errors and necessary corrections while discussing best practices and preventative measures.

Other

Describe:

c) Check and describe all activities the Lead Agency conducts to identify and prevent agency errors. Include in the description how each activity assists in the identification and prevention of agency errors.

Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

Investigators conduct joint investigations with the Office of Inspector General, SSA.

Run system reports that flag errors (include types).

Describe:

A monthly audit of child care for school age children is conducted for months when school is in session. This audit reviews child care hours billed for school age children to identify improper payments resulting from providers billing for care during the school day. The Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity. These reports help to identify agency errors.

Review enrollment documents and attendance or billing records

Describe:

Conduct supervisory staff reviews or quality assurance reviews.

Describe:

Department of Human Services conducts regular Quality Control Reviews of program eligibility and provides staff with feedback and corrective measures. A Child Care Policy email box is available for all staff to send questions through directly to the Child Care Policy Analyst team. The team will review the case against current policies and send a response. Responses are typically send within a few hours, but are held to a 24 hour standard. Urgent requests are sent to help determine eligibility correctly before certifying a case.

Audit provider records.

Describe:

Train staff on policy and/or audits.

Describe:

Department of Human Services holds a monthly statewide video conference addressing top error cases to inform staff of errors and necessary corrections while discussing best practices and preventative measures.

Other

Describe:

Monthly newsletters such as the On Target and Accuracy in Action are circulated to staff. Skills challenges for intake staff, and Employment Related Day Care staff refreshers based on error trends are offered to assist with ongoing training needs.

8.1.5 The Lead Agency is required to identify and recover misspent funds as a result of fraud, and it has the option to recover any misspent funds as a result of errors.

Effective Date: 04/01/2020

a) Check and describe all activities that the Lead Agency uses to investigate and recover improper payments due to fraud. Include in the description how each activity assists in the investigation and recovery of improper payment due to fraud or intentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

- Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

\$200 for both Department of Human Services and the Early Learning Division.

- Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

The Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity, while reducing erroneous benefits and identifying fraud. The Department of Human Services sends monthly reports to the Department of Revenue to help identify subsidy payments so they cannot also be claimed as out of pocket child care expenses for parents claiming child care tax credits.

- Recover through repayment plans.

Describe:

- Reduce payments in subsequent months.

Describe:

Overpayments incurred due to fraud are not eligible for the repayment plan criteria. If the provider is still active with the Department and receiving payments the overpayment is recovered out of subsequent payments at 100%, until the overpayment is satisfied.

- Recover through state/territory tax intercepts.

Describe:

Tax intercepts are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider

does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

Recover through other means.

Describe:

Wage garnishments are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

The Department of Human Services Office of Payment Accuracy and Recovery has four units that work together to identify and collect improper payments: Data Match, Fraud Investigations, Overpayment Writing, and Overpayment Recovery. Special Populations and Baby Promise are small programs and identification of over payments and recovery is done through direct contact with program contractors. Over payments are usually handled through a reduction in payment for subsequent months of service until the over payment has been recovered.

Other

Describe:

The Department of Human Services conducts desk audits each month on approximately 160 randomly selected billing forms. Providers attendance logs are checked against the amount billed and client case record information, monthly audit of child care for school age children is conducted during school months to identify proper payments resulting from providers billing for care during the school day, provider records are matched monthly with TANF, SNAP, Medicaid, and child care subsidy client records to identify eligible providers as well as questionable child care payments, eligibility workers refer potential client and provider payments and fraud to the Office of Payment Accuracy and Recovery. The Data Match Unit also works a variety of federally mandated

reports in conjunction with other states to achieve their goal of ensuring program integrity, while reducing erroneous benefits and identifying fraud. The Department of Human Services has a statewide toll-free number for reporting fraud. This number is publicized in notices sent to child care providers and clients.

b) Check any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Include in the description how each activity assists in the investigation and recovery of improper payments due to unintentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

- Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

\$200

- Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

The Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity, while reducing erroneous benefits and identifying fraud. The Department of Human Services sends monthly reports to the Department of Revenue to help identify subsidy payments so they cannot also be claimed as out of pocket child care expenses for parents claiming child care tax credits.

- Recover through repayment plans.

Describe:

Repayment plans are offered upon request. Providers must have been actively providing care for subsidy families for at least 12 months to be eligible for a repayment plan. The nature of the overpayment cannot be due to provider fraud. Minimum payments of \$50 are required. The balance of the overpayment must be paid off within 10 months.

Reduce payments in subsequent months.

Describe:

Providers who meet the repayment plan criteria listed above can have subsequent payments reduced in order to cover the overpayment amount. The same limitations apply where the payment is a minimum of \$50 and the overpayment balance must be satisfied with 10 months. If providers do not meet the repayment plan criteria the overpayment is recovered out of subsequent payments at 100%, until the overpayment is satisfied.

Recover through state/territory tax intercepts.

Describe:

Tax intercepts are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

Recover through other means.

Describe:

Wage garnishments are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

The Department of Human Services has a Fraud Investigation Unit with investigators who consider both client and provider overpayments.

Other

Describe:

The Department of Human Services conducts desk audits each month on

approximately 160 randomly selected billing forms. Providers attendance logs are checked against the amount billed and client case record information, monthly audit of child care for school age children is conducted during school months to identify proper payments resulting from providers billing for care during the school day, provider records are matched monthly with TANF, SNAP, Medicaid, and child care subsidy client records to identify eligible providers as well as questionable child care payments, eligibility workers refer potential client and provider payments and fraud to the Office of Payment Accuracy and Recovery. The Department of Human Services has a statewide toll-free number for reporting fraud. This number is publicized in notices sent to child care providers and clients.

c) Check and describe all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.

- Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

\$200

- Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

The Data Match Unit also works a variety of federally mandated reports in conjunction with other states to achieve their goal of ensuring program integrity, while reducing erroneous benefits and identifying fraud. The Department of Human Services sends monthly reports to the Department of Revenue to help identify subsidy payments so they cannot also be claimed as out of pocket child care expenses for parents claiming child care tax credits.

- Recover through repayment plans.

Establish a unit to investigate and collect improper payments.

Repayment plans are offered upon request. Providers must have been actively providing care for subsidy families for at least 12 months to be eligible for a

repayment plan. The nature of the overpayment cannot be due to provider fraud. Minimum payments of \$50 are required. The balance of the overpayment must be paid off within 10 months.

[Reduce payments in subsequent months.](#)

Describe:

Providers who meet the repayment plan criteria listed above can have subsequent payments reduced in order to cover the overpayment amount. The same limitations apply where the payment is a minimum of \$50 and the overpayment balance must be satisfied with 10 months. If providers do not meet the repayment plan criteria the overpayment is recovered out of subsequent payments at 100%, until the overpayment is satisfied.

[Recover through state/territory tax intercepts.](#)

Describe:

Tax intercepts are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

[Recover through other means.](#)

Describe:

Wage garnishments are utilized when a provider is not in an active status with the Department of Human Services and they have not submitted a payment. Accounts Receivable mails two separate notices to the provider. If the provider does not respond or fails to continue making payments a garnishment request is sent to Department of Revenue.

[Establish a unit to investigate and collect improper payments and describe the composition of the unit below.](#)

Describe:

The Department of Human Services Office of Payment Accuracy and Recovery, has four units that work together to identify and collect improper payments:

Data Match, Fraud Investigations, Overpayment Writing and Overpayment Recovery. Special Population and Baby Promise are small programs and identification of over payments and recovery is done through direct contact with program contractors. Over payments are usually handled through a reduction in payment for subsequent months of service until the over payment has been recovered.

Other

Describe:

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? Check and describe all that apply:

Effective Date: 10/01/2018

Disqualify the client. If checked, describe this process, including a description of the appeal process for clients who are disqualified.

Describe:

Disqualify the provider. If checked, describe this process, including a description of the appeal process for providers who are disqualified.

Describe:

An Intentional Program Violation is established when a provider commits fraud as determined by a state or federal court, by an administrative agency in a contested case, or by a person signing the designated form acknowledging the Intentional Program Violation and waiving the right to an administrative hearing. If the Intentional Program Violation is established in a contested case, the Department initiates the Intentional Program Violation hearing. There is no administrative appeal after a person waives the right to an Intentional Program Violation hearing, and the penalty may not be changed by subsequent administrative action except as follows:

1. A person who waives the right to an Intentional Program Violation hearing may

seek relief in court or request a contested case hearing on the sole issue of whether the waiver was signed under duress (see OAR 461-025-0310). If there was a determination that the waiver was signed under duress, the initial Intentional Program Violation penalty is voided, and:

- If a court determines that a waiver was signed under duress, the court may determine whether an Intentional Program Violation occurred and the amount of penalty.
- If an administrative law judge determines that a waiver was signed under duress, the Department may initiate an Intentional Program Violation hearing to determine whether an Intentional Program Violation occurred and the amount of the penalty.

2. Child care providers who have incurred an overpayment established as an Intentional Program Violation claim are ineligible for payment as follows:

- For six months and until the full amount of the overpayment is paid, or
- Permanently, if the Department of Human Services Child Care Program Manager finds that such ineligibility is in the public interest

Prosecute criminally.

Describe:

Other.

Describe:

Methods for recovering overpayments in the Department of Human Services self-sufficiency programs (including child care) are established in OAR 461-195-0551.

[Appendix A: Background Check Waiver Request Form](#)

Lead Agencies may apply for a temporary waiver for certain background check requirements if milestone prerequisites have been fully implemented. These waivers will be considered "transitional and legislative waivers" to provide transitional relief from conflicting or duplicative requirements preventing implementation, or an extended period of time in order for the state/territory legislature to enact legislation to implement the provisions (98.19(b)(1)) These waivers are limited to a one-year period and may be extended for at most one additional year

from the date of initial approval.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in section 5 questions 5.4.1 -- 5.4.4 to confirm that the milestones are met. If milestone prerequisites are not met, the waiver request will not be approved. Approved waivers would begin October 1, 2018 through September 30, 2019. If approved, States and Territories will have the option to renew these waivers for one additional year as long as progress is demonstrated during the initial waiver period. Separate guidance will be issued later on the timeline and criteria for requesting the waiver renewal.

Overview of Background Check Implementation deadlines

Original deadline for implementation (658H(j)(1) of CCDBG Act): September 30, 2017

Initial one-year extension deadline (658H(j)(2) of CCDBG Act): September 30, 2018

One-year waiver deadline (45 CFR 98.19(b)(1)(i)): September 30, 2019

Waiver deadline one-year renewal (45 CFR 98.19(b)(1)(ii)): September 30, 2020

Waiver approval for new (prospective) staff, existing staff or staff hired provisionally until background checks are completed, are subject to and contingent upon the OCC review and approval of responses to 5.4.9 that demonstrate that the state/territory requires: (1) the provider to submit the background check request before the staff person begins working; and (2) pending the results of the background check, the staff person must be supervised at all times by an individual who has completed the background check.

To submit a background check waiver request, complete the form below.

Check and describe each background check provision for which the Lead Agency is requesting a time-limited waiver extension.

- Appendix A.1:** In-state criminal registry or repository checks with fingerprints requirements for existing staff. (See related question at 5.4.1 (b))
Describe the provision from which the state/territory seeks relief.

Oregon seeks temporary relief from the in-state criminal fingerprint requirement for individuals currently enrolled in the state's background system.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

The waiver will improve the delivery of child care services in Oregon by providing additional time for child care providers currently serving Oregon's children, to complete the Oregon state fingerprint background check. Approximately 4000 individuals with a background check expiration date between September 30, 2018 and December 31, 2018 have not completed a state fingerprint search. The waiver will allow those individuals to continue providing uninterrupted care to children.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

State fingerprint checks for all subject individuals both licensed and license exempt began January 2017. Individuals enrolled between September 30 2016 and December 30, 2016 were cleared for enrollment before the new requirements. The background clearances included Oregon Law Enforcement Data System checks that include criminal and sex offender registry information. A check and clearance of the child abuse and neglect registry was also conducted. Individuals associated with a licensed child care facility enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests.

The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.4: National FBI fingerprint search requirements for existing staff. (See related question at 5.4.4 (b))

Describe the provision from which the state/territory seeks relief.

Oregon seeks temporary relief from the national FBI fingerprint requirement for individuals currently enrolled in the state's background system.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

The waiver will improve the delivery of child care services in Oregon by providing additional time for child care providers currently serving Oregon's children, to complete the FBI Fingerprint background check. Approximately 4000 individuals with a background check expiration date between September 30, 2018 and December 31, 2018 have not completed an FBI fingerprint search. The waiver will allow those individuals to continue providing uninterrupted care to children.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

FBI Fingerprint checks for all subject individuals both licensed and license exempt began January 2017. Individuals enrolled between September 30 2016 and December 30, 2016 were cleared for enrollment before the new requirements. The background clearances included Oregon Law Enforcement Data System checks that include criminal and sex offender registry information. A check and clearance of the child abuse and neglect registry was also conducted. Individuals associated with a licensed child care facility enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests.

The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.5: National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for new or prospective staff. (See related question at 5.4.5 (a))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the NSOR search requirement for new staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in

Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the NSOR while not interrupting the supply of early educators entering the child care workforce or inhibit the ability of providers to start and stay in business.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

All new staff and other subject individuals complete an FBI fingerprint background check, state criminal check and checks of Oregon child abuse and neglect and sex offender registries. Sex offender information is transmitted through the FBI checks. Licensed individuals enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.6: National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for existing staff. (See related question at 5.4.5 (b))

[Describe the provision from which the state/territory seeks relief.](#)

Oregon seeks a temporary waiver for the NSOR search requirement for existing staff and other subject individuals.

[Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children](#)

The waiver will improve the delivery of child care services in Oregon by providing the state additional time to perform the NSOR check on providers currently serving Oregon's children. The waiver will ensure continuity of care for children.

[Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.](#)

By December 30, 2018 all existing staff and other subject individuals will have completed an FBI fingerprint background check. State criminal check and checks of Oregon child abuse and neglect and sex offender registry checks have already

been conducted on existing individuals. Licensed individuals enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.7: Interstate criminal registry or repository check for new or prospective staff. (See related question at 5.4.6 (a))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate criminal check for new staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the criminal repositories in all states while not interrupting the supply of early educators entering the child care workforce or inhibit the ability of providers to start and stay in business.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

All new staff and other subject individuals complete an FBI fingerprint background check, a state criminal check and checks of Oregon child abuse and neglect and sex offender registries. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.8: Interstate criminal registry or repository check for existing staff. (See related question at 5.4.6 (b))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate criminal check for existing staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the criminal repositories in all states while not interrupting the supply of early educators. The waiver will ensure continuity of care to children currently in care.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

By December 30, 2018 all existing staff and other subject individuals will have completed an FBI fingerprint background check. State criminal check and checks of Oregon child abuse and neglect and sex offender registry checks have already been conducted on existing individuals. Licensed individuals enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.9: Interstate sex offender registry or repository check for new or prospective staff. (See related question at 5.4.7 (a))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate criminal check for new staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the sex offender registries in all states while not interrupting the supply of early educators entering the child care workforce or inhibit the ability of providers to start and stay in business. Improving continuity of care is a high priority.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

All new staff and other subject individuals complete an FBI fingerprint background check, a state criminal check and checks of Oregon child abuse and neglect and sex offender registries. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.10: Interstate sex offender registry or repository check for existing staff. (See related question at 5.4.7 (b))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate sex offender check for existing staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the sex offender registries in all states while not interrupting the supply of early educators. The waiver will ensure continuity of care to children currently in care.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

By December 30, 2018 all existing staff and other subject individuals will have completed an FBI fingerprint background check. State criminal check and checks of Oregon child abuse and neglect and sex offender registry checks have already been conducted on existing individuals. Licensed individuals enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.11: Interstate child abuse and neglect registry check for new or prospective staff. (See related question at 5.4.8 (a))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate child abuse and neglect registry check for new staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by providing additional time for the state to gain access to the sex offender registries in all states while not interrupting the supply of early educators entering the child care workforce or inhibit the ability of providers to start and stay in business. Improving continuity of care is a high priority.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

All new staff and other subject individuals complete an FBI fingerprint background check, a state criminal check and checks of Oregon child abuse and neglect and sex offender registries. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A.12: Interstate child abuse and neglect registry check for existing staff. (See related question at 5.4.8 (b))

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for the interstate child abuse and neglect registry check for existing staff and other subject individuals.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care shortage and a shortage of early learning educators in Oregon. The waiver will improve the delivery of child care services in Oregon by

providing additional time for the state to gain access to the child abuse and neglect registries in all states while not interrupting the supply of early educators. The waiver will ensure continuity of care to children currently in care.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. By December 30, 2018 all existing staff and other subject individuals will have completed an FBI fingerprint background check. State criminal check and checks of Oregon child abuse and neglect and sex offender registry checks have already been conducted on existing individuals. Licensed individuals enrolled in the Central Background Registry are also subject to a quarterly Law Enforcement Data System scan reporting any new crimes or arrests. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.

Appendix A. 13: New staff hired to work provisionally until background checks are completed. (See related question at 5.4.9)

Describe the provision from which the state/territory seeks relief.

Oregon seeks a temporary waiver for new staff hired in licensed child care centers to work provisionally until background checks are completed.

Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children

There is a child care workforce shortage in Oregon. This waiver will improve the delivery of child care services by allowing individuals supervised conditional enrollment in certified facilities while the background check process is completed. This allows center to continue to meet adult child ratios and in support of children's health and safety.

Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. All new staff and other subject individuals complete an FBI fingerprint background check, a state criminal check and checks of Oregon child abuse and neglect and sex offender registries. Individuals hired to work in a Certified Child Care Center under conditional enrollment have been printed for the FBI/State fingerprint check

and completed all other state checks. Conditional enrollment allows the worker to be on site as long as there is no unsupervised contact with children. The health, safety and well-being of children is a priority in Oregon's child care system and children served will not be compromised as a result of the waiver.